



Tribal Drug Court Grant Program Fiscal Year 2001

- Application Kit for:
 - ✓ Planning Grants
 - ✓ Implementation Grants
 - ✓ Enhancement Grants
- Registration Information for:
 - ✓ Applicant Workshops
 - January 26, 2001
 - February 2, 2001
 - February 5, 2001

DEADLINE:
February 26, 2001

U.S. Department of Justice
Office of Justice Programs
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For grant and funding information, contact
U.S. Department of Justice Response Center
1-800-421-6770

Tribal Drug Court Grant Program Fiscal Year 2001

- Application Kit
- Registration Information

SL000452

For copies of this publication, please contact:

National Criminal Justice Reference Service

P.O. Box 6000

Rockville, MD 20849-6000

Telephone: 1-800-851-3420

or 301-519-5500

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**The Drug Courts Program Office,
Office of Justice Programs, announces the following:**

APPLICANT WORKSHOPS

To explain the requirements for a grant application. See appendix A for further information and to register to attend.

January 26th, Washington, DC
February 2nd, Albuquerque, NM
February 5th, San Francisco, CA

A separate breakout session will be held in Albuquerque for tribal communities.

NOTE: Federal grant funds cannot be used to attend these workshops.

TABLE OF CONTENTS

Application Checklist	1
Introduction	3
The Drug Court Movement	5
The Tribal Drug Court Initiative	6
Important Partnership With Treatment	6
Key Components of Drug Courts	7
Impact of the Drug Court Movement	8
FY 2001 Program	11
Background	13
FY 2001 Tribal Drug Court Grant Program	14
Application Process	17
Overview of the Grants Management System	19
1. Application for Federal Assistance (SF 424)	21
2. Program Narrative Attachments	25
A. Applicant Information Page	26
B. Abstract	28
C. Program Design	29
1. Tribal Drug Court Planning Grants	30
2. Adult Tribal Drug Court Implementation Grants	31
3. Juvenile Tribal Drug Court Implementation Grants	39
4. Tribal Drug Court Enhancement Grants	48
D. Time Task Plan	51
E. Applicant Certifications	53
F. Consent Form	56
3. Budget Narrative and Budget Detail Worksheet Attachments	59
A. Drug Court Budgets: Allowable and Unallowable Costs	63
B. Budget Detail Worksheet	67

4. Assurances	73
A. OJP Assurances	74
B. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements	75
5. Letters of Support and Authorization Letters	77
Sample Authorization Letter	79
6. Policy and Procedures Manual	81
General Information	83
Drug Court Training and Technical Assistance Program	85
Definitions	91
Program Provisions	93
Application Review and Award Process	97
Appendixes	99
A. FY 2001 Applicant Workshops Registration Form	101
B. Violent Offender Frequently Asked Questions	103
C. Drug Court Grantee Reporting Requirements	107
Drug Court Grantee Data Collection Survey	108
D. Process Evaluations and Management Information Systems	113
E. Comprehensive Care Continuum	119
Resources: Additional Federal Drug Court Funding Sources	123
A. Bureau of Justice Assistance	
<i>Edward Byrne Memorial State and Local Law Enforcement Assistance</i> Fact Sheet	127
<i>FY 2000 Local Law Enforcement Block Grants Program</i> Fact Sheet	133
State Offices Administering the Edward Byrne Memorial State and Local Law Enforcement Program	137
B. Office of Juvenile Justice and Delinquency Prevention	
<i>Juvenile Accountability Incentive Block Grants Program</i> Fact Sheet	143
State Offices Administering the Juvenile Accountability Incentive Block Grants Program	145
C. U.S. Department of Health and Human Services, Center for Substance Abuse Treatment	153
State Offices Administering the CSAT Block Grant Program	155
Recommended Reading	161
Addresses on the World Wide Web	163

APPLICATION CHECKLIST

All applications must be submitted electronically through the Grants Management System (GMS) by 11:59 p.m. e.t. February 26, 2001. For further information on GMS, see page 19, or go to www.ojp.usdoj.gov/fundopps.htm.

Your GMS application must include (in the following in order)

- _____ An Application for Federal Assistance (Standard Form 424). All data fields in the electronic form must be populated, see page 21.
 - _____ One Program Narrative file that includes the following
 - A. Applicant Information Page, see page 26.
 - B. Abstract (for implementation and enhancement grant applicants only), see page 28.
 - C. Program Design, see page 29.
 - D. Time Task Plan (for implementation and enhancement grant applicants only), see page 51.
 - E. Applicant Certifications, see page 53.
 - F. Consent Form (for implementation and enhancement grant applicants only), see page 56.
- Please refer to corresponding sections in the application to determine the contents of each attachment. *Applicants are encouraged to follow the outline provided.*

Please note that you must upload one file per attachment. Only the most current file uploaded to the appropriate attachment will be saved as a part of the application. Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design Narrative, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract.

- _____ A Budget Narrative file, see page 59. (Must be attached under Other Program Attachments in GMS.)
- _____ A Budget Detail Worksheet file, see page 67.
- _____ The name of the authorizing official on the Assurances and Certifications screen. The authorizing official must review the Assurances and Certifications forms in their entirety (see pp. 74–76). The authorizing official does not need to submit signed hard copies of these forms to the Drug Courts Program Office.

(over)

_____ Letters of Support (if applicable) and Authorization Letters (if applicable), see page 77. These items must be faxed to 202-354-4147 by 11:59 p.m. e.t. February 26, 2001. Be sure to include your assigned application number (e.g., 2001-Z001-MD-DC) on all faxed documents for identification purposes.

_____ **If you are applying for an enhancement grant**, a copy of the Policy and Procedures Manual must be postmarked by February 15, 2001, to the Drug Courts Program Office, 810 Seventh Street NW., Washington, DC 20531, see page 81. The application number must appear on the manual. If you have previously submitted a Policy and Procedures Manual as a grant recipient of the Drug Courts Program Office, you do not need to resubmit, but must reference this fact on your Applicant Information Page.

IMPORTANT NOTE: Pages in excess of the total page limit listed **will not be considered**. Page numbering is strongly encouraged for the Program Design section of your application. Any appendixes or attachments other than those required **will not be considered**.

INTRODUCTION

The Drug Court Movement

The emergence of crack cocaine in the mid-1980s had an unprecedented and dramatic impact on the Nation's criminal justice system. In an effort to stem the street drug dealing and the crime and violence associated with illegal drug use, the arrest and prosecution of drug offenders was dramatically escalated. At the same time, penalties for the possession and sale of illegal drugs were toughened so that greater numbers of drug offenders were charged with felonies that carried sentences of incarceration. As a result of the Nation's war on drugs, greater numbers of drug offenders were arrested, prosecuted, and convicted; however, drug offenders received few, if any, treatment services. The result was a revolving door syndrome: drug offenders cycled in and out of the justice system.

The influx of drug offenders into the system severely strained the courts, forcing some to the brink of collapse. In an effort to address growing caseloads, courts employed delay-reduction strategies, including establishing specialized court dockets to expedite drug case processing. These approaches, however, did little to stem the tide of drug offenders flowing into the system, to habilitate drug offenders already in the system, or to reduce recidivism among released offenders.

In 1989, troubled by the devastating impact of drugs and drug-related crime on their criminal justice systems, several communities began experimenting with an approach to low-level drug offenses that brought significant change to the way the court system does business. This new approach integrated substance abuse treatment, sanctions, and incentives with case processing to place nonviolent drug-involved defendants in judicially supervised habilitation programs. The traditional system had rarely provided substance abuse treatment to defendants in any systematic way and, in many cases, provided little or no threat of sanctions to drug offenders.

The new approach—a significant departure from traditional court practice—was not always widely supported by members of the judiciary, prosecutors, and the defense bar. However, judges, prosecutors, and other representatives of the justice system across the country who were struggling with similar issues involving drug offenders gradually began to examine the drug court approach to assess whether replication (or adaptation) might offer them a better response to drug cases.

Since 1989, more than 1,000 courts have implemented or are planning to implement a drug court to address the problems of substance abuse and drug-related crime. Local coalitions of judges, prosecutors, defense attorneys, treatment professionals, law enforcement officials, and other community stakeholders are using the coercive power of the court to force abstinence and alter behavior with a combination of escalating sanctions, mandatory drug testing, treatment, and strong aftercare programs to help offenders reenter the community. Drug courts are one of several recent criminal justice initiatives that have started at the grassroots level and spread across the Nation.

Congress joined local communities in acknowledging the promise of drug courts to habilitate offenders, hold offenders accountable for their actions, and reduce victimization by intervening soon after arrest. By enacting the Crime Act of 1994 (Title I, Subchapter XII–J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 U.S.C. 3796ii et seq.), Congress authorized the

Attorney General to make grants to States, State courts, local courts, units of local government, and Indian tribal governments to establish drug courts. The authority has been delegated to the Assistant Attorney General, Office of Justice Programs (OJP). The Drug Courts Program Office (DCPO) was established by OJP to administer the Drug Court Grant Program and to provide training, financial and technical assistance, and related programmatic guidance and leadership to communities interested in drug courts.

The Tribal Drug Court Initiative

In 1997, the Tribal Drug Court Initiative was created by DCPO in partnership with the National Association of Drug Court Professionals (NADCP) to assist interested tribal governments with the development of drug courts. Planning and implementation and, later, continuation and enhancement grants were awarded to tribal governments through applications to DCPO. In 1998, the Tribal Law and Policy Institute was awarded a cooperative agreement to provide technical assistance to tribal communities.

Research has shown that alcohol is the most abused substance in tribal communities by both adults and juveniles; therefore, the use of the term “drug” in this application will include alcohol. DCPO recognizes the impact of alcohol on tribal communities and has a special interest in encouraging communities to develop drug courts that give special attention to alcohol problems in addition to drugs.

A specialized training and technical assistance program has been developed to assist tribal communities with the development of drug court programs that work effectively within tribal justice systems and tribal cultures. All tribal communities that receive grants from DCPO have access to this training and technical assistance. Thirty tribal drug courts are now operational and 53 are in pilot or planning stages.

Important Partnership With Treatment

For drug courts to be most effective, judges must rely on treatment providers and treatment coordinators to assist in developing treatment, habilitation, and supervision plans for each defendant. Treatment is most effective when offenders are matched correctly with an appropriate level of care as identified through the clinical assessment or diagnostic process. The treatment needs of individuals eligible for the drug court program are assessed, as are any related medical and psychological problems that the treatment program will have to address. Length of stay in treatment and in aftercare are factors associated with positive outcomes and, in particular, with the cessation of drug use, reduction in recidivism rates, and improvement in educational and employment status and family relationships.

In coordination with the drug court judge and other court personnel, treatment and other case management personnel (such as those involved with Treatment Alternatives to Street Crime

[TASC] programs) assess clients' treatment needs, track their progress in treatment programs, and determine appropriate levels of treatment services. Supportive social services provide drug court staff with links to employment, educational/vocational placement, family counseling, and housing placement assistance for drug court participants.¹

Drug court practitioners understand that drug addiction is a complex, chronic, relapsing disease and that a comprehensive, sustained continuum of therapeutic interventions and services can increase clients' periods of abstinence and reduce the rate of relapse, rearrest, and incarceration. Therapeutic interventions and services include, but are not limited to, prompt intake and assessment; detoxification, if indicated; and substance abuse treatment ranging from outpatient to residential services, including a strong focus on therapeutic relapse prevention methodologies.²

Key Components of Drug Courts

In January 1997, the U.S. Department of Justice (DOJ) released *Defining Drug Courts: The Key Components*, which is based on the experiences of those in the drug court field. The report describes the 10 key components of a drug court and provides performance benchmarks for each component. It was developed through a cooperative agreement between DCPO and the National Association of Drug Court Professionals, which convened the Drug Court Standards Committee. The committee comprised drug court practitioners throughout the Nation (judges, prosecutors, defense attorneys, treatment providers, pretrial service officers, and probation officers). The Conference of Chief Justices, the Conference of State Court Administrators, and several States have adopted the key components. More than 25,000 copies of the key components document have been distributed. The document has been used at more than 100 Federal, State, and locally sponsored drug court training conferences. The report is available through the National Criminal Justice Reference Service at 1-800-851-3420 and on the DCPO home page (www.ojp.usdoj.gov/dcpo).

As identified by the committee, the 10 key components of a drug court are as follows:

1. Drug courts integrate alcohol and other drug treatment services with justice system case processing.
2. Using a nonadversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.
3. Eligible participants are identified early and promptly placed in the drug court program.
4. Drug courts provide access to a continuum of alcohol, drug, and related treatment and rehabilitation services.

¹ J.S. Baer and Associates (ed.). *Addictive Behaviors: Across the Life Plan: Prevention, Treatment, and Policy Issues*. Sage Publications: Newbury Park, CA. 1993.

² Drug Courts Program Office. *Defining Drug Courts: The Key Components*. U.S. Department of Justice: Washington, DC. 1997.

5. Abstinence is monitored by frequent alcohol and other drug testing.
6. A coordinated strategy governs drug court responses to participants' compliance.
7. Ongoing judicial interaction with each drug court participant is essential.
8. Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
9. Continuing interdisciplinary education promotes effective drug court planning, implementation, and operations.
10. Forging partnerships among drug courts, public agencies, and community-based organizations generates local support and enhances drug court program effectiveness.

A document that describes how the drug court concept is being adapted in tribal communities, *Tribal Healing to Wellness Courts: A Preliminary Overview of Tribal Drug Courts*, was published by DOJ in 1999. Copies of this document can be obtained by contacting NCJRS at 1-800-851-3420. Please reference NCJ number 178907.

Impact of the Drug Court Movement

Drug courts have a significant impact on the communities they serve. Information released by the Drug Court Clearinghouse, operated by American University and funded by the Drug Courts Program Office, released findings in June 2000 that demonstrate the success of drug courts. The following information was compiled from 176 drug courts that responded to the clearinghouse survey.

A. Client profile

1. More than **57,000 individuals have graduated** from a drug court.
2. Almost 50 percent of clients have used drugs for at least 10 years and were using multiple illegal drugs.
3. 73 percent of clients are parents of minor children.
4. 65 percent of graduates have been incarcerated for drug offenses.

B. The **retention rates** (ratio of current participants and graduates divided by the total number enrolled) for drug court participants remains high, generally **between 60 and 80 percent**, despite the difficult population most programs are targeting.

C. **Recidivism rates** continue to be reduced significantly for graduates. Rates reported by drug courts continue to range from **2 to 20 percent**.

D. Client outcomes

1. More than **1,000 drug free babies** have been reported born to drug court participants. (Experts estimate that the care and treatment for each child born addicted to drugs costs, at a minimum, \$250,000 per child for the first few years of life. These costs rise to as high as \$750,000 per child by the time the child reaches age 18.)

2. **More than 90 percent of graduates obtained/retained employment.**
 3. More than 4,500 parents with previous child support orders are now current in their child support as a result of participating in a drug court.
 4. 3,500 parents were able to regain custody of their children as a result of participating in a drug court.
- E. To date, 22 States have passed legislation supporting drug courts, and an additional 12 are introducing legislation supporting drug courts.

In December 1999, Columbia University's National Center on Addiction and Substance Abuse (CASA) released findings from their second major academic review and analysis of 29 drug court evaluations. In 1998, CASA released the first major academic review and analysis of 30 drug court evaluations. The 1999 evaluation results are consistent with the 1998 evaluation results. The following is a summary of the findings from the **review of 59 drug evaluations** and both CASA reports.

- A. **Compared with other treatment programs, drug courts provide more comprehensive supervision and monitoring, increase the rates of retention in treatment, as well as reduce drug use and criminal behavior while participants are in the drug court program.**
- B. Drug use by participants while in the program remains low compared with similar defendants not in drug court. In this review an average of 10 percent of the drug tests for drug court clients were positive, compared with an average of 31 percent for similar defendants not in the drug court program, but under the supervision of probation.
- C. **Retention and graduation rates among drug court participants remains high compared with other outpatient treatment programs.** The treatment outcome literature consistently has found that a longer treatment period is associated with better results. National treatment research indicated that only 50 percent of those admitted to outpatient drug-free programs stayed 3 months or longer. Sixty percent of those who enter drug courts are still in treatment after 12 months.
- D. **Recidivism for participants in the drug court program remains low for graduates. Additionally, post-program recidivism rates remain low.**

The Crime and Justice Research Institute released results in September 2000, from the first phase of a retrospective evaluation, funded by the National Institute of Justice, of the Las Vegas (Clark County), Nevada, and Portland (Multnomah County), Oregon, drug courts.

The evaluation of the Portland Drug Court demonstrated that

- Drug court graduates were rearrested notably less frequently than nongraduates over the entire study period and when each yearly cohort was examined during 1-, 2-, and 3-year followups; 35 percent of graduates were rearrested within 3 years compared with 61 percent of nongraduates. The differences were largest when rearrests for drug offenses were examined.

The evaluation of the Las Vegas Drug Court demonstrated that

- Drug court graduates were rearrested notably less frequently than nongraduates over the entire study period and when each yearly cohort was examined during 1-, 2-, and 3-year followups; 46 percent of graduates were rearrested within 3 years compared with 76 percent of nongraduates. The differences were largest when rearrests for drug offenses were examined.

Abt Associates released results in September 2000, from the first phase of a retrospective evaluation, funded by the National Institute of Justice, of the Pensacola (Escambia County), Florida, and Kansas City (Jefferson County), Missouri, drug courts.

The evaluation of the Pensacola Drug Court demonstrated that

- The proportion of the target population rearrested on any new felony offenses decreased from 40 percent to 12 percent since program startup, and the impact of program participation on criminal recidivism was statistically significant.

The evaluation of the Kansas City Drug Court demonstrated that

- The proportion of the target population rearrested on any new felony offenses decreased from 50 percent to 35 percent since program startup, and the impact of program participation on criminal recidivism was statistically significant.

FY 2001 PROGRAM

Background

The Drug Courts Program Office, under the authority of the Assistant Attorney General, Office of Justice Programs, U.S. Department of Justice, was established in 1995 as a result of the 1994 Crime Act. DCPO administers the Drug Court Grant Program and the Drug Court Training and Technical Assistance Program. The Drug Court Grant Program is a discretionary program designed to assist States, State courts, local courts, units of local government, and Indian tribal governments in developing and establishing drug courts for substance-abusing adult and juvenile offenders.

Since 1995 DCPO has awarded more than \$125 million to approximately 600 communities for the planning, implementation, or enhancement of an adult, juvenile, family, tribal, or Driving While Intoxicated/Driving Under the Influence (DWI/DUI) drug court. As a result of DCPO funding, more than 350 communities have implemented a drug court. DCPO has conducted more than 120 monitoring visits to drug courts. In the past 2 years, DCPO has funded and directed 50 training workshops and provided more than 3,500 incidences of technical support and assistance. In fiscal year (FY) 2001, the President requested \$50 million for this program. At the time of this printing, an appropriation was still pending.

Programs funded by DCPO (Title I, Subchapter XII–J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 U.S.C. 3796ii et seq.) are required by law to target **nonviolent offenders** and must implement a drug court based on the 10 key components. The term “drug court” means a specially designed court calendar or docket (**a separate or special jurisdiction court is neither necessary nor encouraged**).

For this program, the term “violent offender” means a person who either

- A. Is charged with or convicted of an offense during the course of which
 - 1. The person carried, possessed, or used a firearm or other dangerous weapon;
 - 2. The person used force against another person; or
 - 3. Death, or serious bodily injury, occurred to any person, without regard to whether any of the circumstances described above is an element of the offense or conduct of which or for which the person is charged or convicted; or
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

Applicants must provide written assurance that they will target nonviolent offenders as defined by statute. Further information on the Violent Offender Prohibition may be found in appendix B.

FY 2001 Tribal Drug Court Grant Program

The FY 2001 Tribal Drug Court Grant Program is responsive to, and supportive of, developments in the field. As a result, DCPO announces the availability of planning, implementation, and enhancement grants. All applications must be submitted electronically via the Grants Management System by 11:59 p.m. e.t. February 26, 2001. See page 19 for further information on GMS.

Tribal Planning Category

Planning grants are available to assist tribal communities in planning tribal drug courts. These funds will enable grant recipients to undertake relevant needs assessments to identify the characteristics of their drug caseloads, offender populations, and treatment options and to access planning training. Tribal planning grants are limited in scope and **will not necessarily lead to subsequent DCPO funding to implement the programs that result from the planning effort.**

Planning grants will be awarded for up to a total of \$30,000 and for up to an 18-month project period. Applicants should carefully review the Budget Narrative and Budget Detail Worksheet Attachments section on page 59 for more specific information on the budget requirements.

The outcome of the planning process should enable tribal communities to develop sufficient needs assessments and cost analyses to justify funding requests to local, State, or Federal governments or private sources. Training and technical assistance will be provided to assist grant recipients during their planning processes. Grant recipients will be required to carry out specific activities to aid the planning process.

Applicants are strongly encouraged to identify a local evaluator and/or consultant to assist in the planning stages. Grant recipients are required to attend three training programs.

See page 30 for the Program Design requirements for Tribal Drug Court Planning Grants.

Tribal Implementation Category

Implementation grants are available to assist jurisdictions with the initial implementation of a tribal drug court based on the 10 key components (as applicable), to help jurisdictions develop a strong program, and to allow jurisdictions to collect data necessary to demonstrate the effectiveness of the program. After receiving an implementation grant a jurisdiction should be able to demonstrate its program's effectiveness to potential funding sources to develop the resources necessary to sustain the program after the implementation grant expires.

Implementation grants are available to any jurisdiction that has completed the planning process and is ready to implement a tribal drug court. Jurisdictions that are able to provide the level of detail requested are encouraged to apply—Note that there is a separate section for adult tribal drug court implementation and juvenile tribal drug court implementation. Jurisdictions that have completed the DCPO-sponsored tribal planning training will be given special consideration for

funding. Completion of DCPO-sponsored tribal planning training, however, is not a guarantee of receipt of an implementation grant. This is a competitive grant program.

Implementation grants will be awarded for up to a total of \$500,000 and for up to 3 years. Jurisdictions may apply for a 1-, 2-, or 3-year project period; however, applicants should carefully review the Budget Narrative and Budget Detail Worksheet Attachments section on page 59 for more specific information on the budget requirements associated with each project period.

Tribal drug court programs supported by implementation grant funds should

- A. Promote public safety and contribute to a reduction in substance abuse and recidivism among nonviolent adult and/or juvenile substance-abusing offenders.
- B. Reduce reliance on incarceration within existing correctional systems and local jails/detention centers.
- C. Use a nonadversarial approach to provide
 1. Early identification, referral, and screening; early and frequent judicial supervision; special case processing; and random and frequent drug testing.
 2. Coordinated, managed, comprehensive, and appropriate substance abuse treatment services, as well as a full array of ancillary services ranging from, but not limited to, mental health, educational, vocational, public housing, and family health care (refer to Appendix E: Comprehensive Care Continuum).
 3. Regular staffings and status hearings at which the supervising judicial official reviews the progress (or lack thereof) of each participating defendant.
 4. Appropriate incentives and sanctions, including the possibility of confinement, incarceration, or prosecution in the event of a defendant's noncompliance with drug court program requirements.
 5. Ongoing criminal justice supervision and case management through the pretrial, probation, or other supervised released programs, using monitoring, tracking, and case management.
- D. Establish monitoring and evaluation measures that will demonstrate the effectiveness of the program.
- E. Demonstrate coordination and collaboration with existing community resources and initiatives under way at the Federal, State, or local level to meet the needs of this population and forge new partnerships among criminal justice agencies (law enforcement, prosecution, defense, pretrial, probation), human services agencies, and community-based organizations to enhance program effectiveness.

See page 31 for the Program Design requirements for Adult Tribal Drug Court Implementation Grants and page 39 for Juvenile Tribal Drug Court Implementation Grants.

Tribal Enhancement Category

Enhancement grants are available to any jurisdiction that already has a fully operational tribal drug court and wants to improve the delivery of services or enhance the existing tribal drug court through additional services. Jurisdictions that have what they consider to be a “pilot” program should not apply in this category. Rather, jurisdictions with pilot tribal drug court programs should consider applying for an implementation grant.

This category is open to all operational tribal drug courts. Tribal drug courts that have previously received a grant or that currently have a grant must demonstrate a compelling need for additional Federal funding. Additionally, applicants in this category must demonstrate the effectiveness of their programs through evaluation findings.

Enhancement grants will be awarded for up to a total of \$300,000 and for up to 2 years. An applicant may apply for one or more of the purpose areas within an application. Jurisdictions may apply for a 1- or 2-year project period; however, applicants should carefully review the Budget Narrative and Budget Detail Worksheet Attachment section on page 59 for more specific information on the budget requirements associated with each project period.

Enhancement grants may be used to

- A. Continue program operations.
- B. Provide additional services to tribal drug court clients in an effort to increase the likelihood of successful rehabilitation.
- C. Develop training programs to teach criminal and juvenile justice professionals, treatment providers, community members, researchers, and other stakeholders about the tribal drug court philosophy and/or the components of a tribal drug court program.
- D. Conduct process and/or outcome evaluations. Evaluation plans *must* incorporate the principles set forth in appendix D.
- E. Develop and implement an automated data collection system, or improve an existing system, for the tribal drug court program.

See page 48 for the Program Design requirements for Tribal Drug Court Enhancement Grants.

APPLICATION PROCESS

Overview of the Grants Management System

In FY 2001, DCPO was one of several OJP offices to pilot the OJP online Grants Management System. GMS is a Web-based grant management system designed to meet the requirements of all online Internet-based application submissions by external organizations and OJP internal application processing and grants administration requirements. DCPO reviews, processes, and sends all applicant- and grant-related information through GMS. GMS will allow you to view the FY 2001 Tribal Drug Court Grant Program Application Kit and Guidelines online and instruct you how to submit your application via the Internet. Once you have begun the application process, you will be able to access help screens to answer questions regarding certain data fields and other aspects of GMS. The Internet address for GMS is www.ojp.usdoj.gov/fundopps.htm.

Again, in FY 2001 grant applications to DCPO must be submitted electronically. To assist you in submitting your application online, a user-friendly GMS Applicant User Guide can be found at www.ojp.usdoj.gov/guidelinesinfo.htm.

This year, it is critical that the person who electronically submits the application is either the signing authority or has been delegated or designated as the signing authority by the appropriate authority. Subsequent information such as grant awards for successful applicants will be submitted electronically; therefore, it is important that the authorizing official or designated authorizing official uses his or her Internet account information for application purposes. If either the authorizing official or the designated authorizing official created a user profile and submitted an application in FY 2000, he or she will not be required to create a new profile for FY 2001. However, if he or she did not submit an application in FY 2000, his or her user profile must be approved by DCPO by February 12, 2001 (2 weeks prior to the submission deadline of February 26, 2001).

Only the most current file uploaded as an attachment is saved as part of the application. Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design Narrative, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract.

If the authorizing official or designated authorizing official has not yet established an Internet account, please contact the GMS Hotline at 1-888-549-9901 for assistance in creating an account. Please be advised that applicants must use Netscape 4.75 or an equivalent browser for security purposes.

To request a printed copy of the FY 2001 Tribal Drug Court Grant Program Application Kit and Guidelines, please call 1-800-851-3420.

Instructions for Submitting Applications Online— Grants Management System

Using an established Internet account, or after creating an account with GMS staff assistance, complete the following steps.

Step 1. Visit the GMS Web site at www.ojp.usdoj.gov/fundopps.htm.

Step 2. Select **Tribal Drug Court Grant Program Fiscal Year 2001**.

Step 3. Follow the onscreen instructions. If you have questions, refer to the Applicant User Guide or access applicable help screens. In the event that your questions cannot be addressed by accessing the online GMS reference tools, call 1-888-549-9901 for assistance.

Step 4. Submit your application online by 11:59 p.m. e.t. February 26, 2001. Do not procrastinate; new user profiles must be approved by DCPO before submitting your application. All applicants must have their user information approved by DCPO by February 12, 2001 (2 weeks prior to the submission deadline).

Step 5. Fax letters of support and letters of authorization to 202-354-4147 by 11:59 p.m. e.t. February 26, 2001. Include your GMS assigned application number on all faxed documents for identification purposes.

For the purposes of this application kit, eligible applicants are States, State courts, local courts, counties, other units of local government, and Indian tribal governments, acting directly or through agreement with other public or private entities. Definitions of eligible applicants are provided on page 91. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants.

For an application from a **subunit of government** (e.g., county probation department, district attorney's office, pretrial services agency) to be considered, it must be authorized as representing an eligible applicant (defined above). For example, the county executive may designate the county probation or county district attorney's office as its representative for the purpose of application. A model authorization letter can be found on page 79.

Any community that currently has or previously had a grant from DCPO may submit an application; however, a compelling case must be made in the program design for the need for additional resources from DCPO.

1. Application for Federal Assistance (SF 424)

After you have established a GMS user profile and selected the DCPO solicitation, you are ready to move on to Step 1 of the application process. Step 1 is to complete the Application for Federal Assistance. This is a standard form used by most Federal agencies. This form contains 18 different items that are to be completed. You must ensure that all data fields are populated, unless otherwise indicated in the instructions below.

Item Instructions

1. **Type of Submission:** If this proposal is not for construction or building purposes, check the “Non-Construction” box in the application section.
2. **Date Submitted:** Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
3. **Date Received by State:** Leave blank. This item is completed by the State single point of contact, if applicable.
4. **Date Received by Federal Agency:** Leave blank. This item will be completed by OJP.
5. **Applicant Information:** The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include his or her telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
6. **Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7. **Type of Applicant:** Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium.”
8. **Type of Application:** Check either “new” or “continuation.” Check “new” if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation” if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.
9. **Name of Federal Agency:** Type in the name of the awarding agency, “Drug Courts Program Office, Office of Justice Programs.”
10. **Catalog of Federal Domestic Assistance Number:** This would be contained in the program announcement. The number for this program would be 16.585.

11. **Descriptive Title of Applicant's Project:** Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant's fiscal year, i.e., 12-month audit period, ex. 10/1/97–9/30/98.
12. **Areas Affected by Project:** Identify the geographic area(s) of the project. Indicate "statewide" or "National," if applicable.
13. **Proposed Project Dates:** Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.
14. **Congressional Districts:** Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "statewide" or "National," if applicable.
15. **Estimated Funding:** In line "a," enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate.
16. **State Executive Order 12372:** Some States require you to submit your application to a State "Single Point of Contact" (SPOC) to coordinate applications for Federal funds within the State. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the "Administrative Requirements" section of the program announcement for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
17. **Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18. **Authorized Representative:** Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as "original" to help distinguish the original from the photocopies.

NOTE: The following form is the hard copy version of the SF 424. The electronic version in GMS does not appear on the screen in this format.

Application for Federal Assistance

OMB Approval No. 0348-0043

1. Type of Submission <table style="width: 100%;"><tr><td style="width: 50%;">Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction</td><td style="width: 50%;">Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction</td></tr></table>		Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. Date Submitted (mm/dd/yyyy)	Applicant Identifier																
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4. Date Received by Federal Agency (mm/dd/yyyy)	Federal Identifier																				
5. Applicant Information																					
Legal Name		Organizational Unit																			
Address (give city, county, State, and zip code)		Name and telephone number of the person to be contacted on matters involving this application (give area code)																			
6. Employer Identification Number (EIN) (xx-yyyymm) <div style="border: 1px solid black; width: 100px; height: 20px; display: inline-block;"></div> — <div style="border: 1px solid black; width: 100px; height: 20px; display: inline-block;"></div>		7. Type of Applicant (enter appropriate letter in box) <div style="border: 1px solid black; width: 30px; height: 20px; display: inline-block;"></div> <table style="width: 100%; font-size: small;"><tr><td>A. State</td><td>J. Private University</td></tr><tr><td>B. County</td><td>K. Indian Tribe</td></tr><tr><td>C. Municipal</td><td>L. Individual</td></tr><tr><td>D. Township</td><td>M. Profit Organization</td></tr><tr><td>E. Interstate</td><td>N. Nonprofit</td></tr><tr><td>F. Inter-municipal</td><td>O. Public Housing Agency</td></tr><tr><td>G. Special District</td><td>P. Other (Specify)</td></tr><tr><td>H. Independent School Dist.</td><td></td></tr><tr><td>I. State Controlled Institution of Higher Learning</td><td></td></tr></table>		A. State	J. Private University	B. County	K. Indian Tribe	C. Municipal	L. Individual	D. Township	M. Profit Organization	E. Interstate	N. Nonprofit	F. Inter-municipal	O. Public Housing Agency	G. Special District	P. Other (Specify)	H. Independent School Dist.		I. State Controlled Institution of Higher Learning	
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12. Areas Affected by Project (cities, counties, States, etc.)																					
13. Proposed Project		14. Congressional Districts of																			
Start Date (mm/dd/yyyy)	Ending Date (mm/dd/yyyy)	a. Applicant	b. Project																		
15. Estimated Funding		16. Is Application Subject to Review by State Executive Order 12372 Process?																			
a. Federal	\$.00	a. Yes This pre-application/application was made available to the State Executive Order 12372 Process for review on: Date (mm/dd/yyyy) _____ b. No <input type="checkbox"/> Program is not covered by E.O. 12372 or <input type="checkbox"/> Program has not been selected by State for review.																			
b. Applicant	\$.00																				
c. State	\$.00																				
d. Local	\$.00																				
e. Other	\$.00																				
f. Program Income	\$.00	17. Is the Applicant Delinquent on Any Federal Debt? <input type="checkbox"/> Yes If "Yes," attach an explanation <input type="checkbox"/> No																			
g. Total	\$.00																				
18. To the best of my knowledge and belief, all data in this application/pre-application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.																					
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number (Include Area Code)																		
d. Signature of Authorized Representative		e. Date Signed (mm/dd/yyyy)																			

Previous Edition Usable
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Prescribed by OMB Circular A-102

2. Program Narrative Attachments

Step 2 of the application process is to attach the Program Narrative. The Program Narrative consists of six separate sections, all of which must be attached and submitted as one file. **Only the most current file uploaded as an attachment is saved as part of the application.** Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract. Please note that in order for your application to be considered for funding all six sections of the Program Narrative must be completed, and the page limits set forth in each section must not be exceeded. Following is a list of the six sections to be included in the Program Narrative:

- A. Applicant Information Page.
- B. Abstract (for implementation and enhancement grant applicants only).
- C. Program Design. To assist in the review of applications, follow the outline provided in each section. An applicant must choose one of the following four grant types:
 - 1. Tribal Drug Court Planning Grants.
 - 2. Adult Tribal Drug Court Implementation Grants.
 - 3. Juvenile Tribal Drug Court Implementation Grants.
 - 4. Tribal Drug Court Enhancement Grants.
- D. Time Task Plan (for implementation and enhancement grant applicants only).
- E. Applicant Certifications.
- F. Consent Form (for implementation and enhancement grant applicants only).

A. Applicant Information Page

The first section of the Program Narrative is the Applicant Information Page. The following information must be provided in the order listed.

A. Applicant Contact Information

1. Name and Job Title.
2. Tribal Nation and Agency.
3. Address.
4. Phone Number.
5. Fax Number.
6. E-mail Address.

B. Size of Jurisdiction

1. Population of jurisdiction.
2. Urban, suburban, or rural.
3. State, local, or tribal community.
4. Name of city and county where court is located.

C. Type of Drug Court Application

1. Tribal Planning Grant (Adult or Juvenile).
2. Adult Tribal Implementation Grant.
3. Juvenile Tribal Implementation Grant.
4. Tribal Enhancement Grant (Adult or Juvenile).

D. Designation of jurisdiction by the U.S. Department of Housing and Urban Development as an Empowerment Zone or Enterprise Community.

1. Applicants will identify themselves as such or state that this designation does not apply to their jurisdictions.
2. Applicants will describe, in one paragraph, how they will target their drug court effort to their designated area.

[Planning Grant applicants, stop here.]

E. Indicate whether your jurisdiction has ever received a grant from DCPO. Include the grant number for the award and the type.

F. Indicate if your jurisdiction has previously submitted a Policy and Procedures Manual to DCPO.

G. Target Population

1. Age.
2. Sex.
3. Misdemeanor, felony, or both.
4. Total number of participants to be served by the grant. Ranges are acceptable. (Note: for juvenile drug courts, provide the number of juveniles and the number of family members.)

H. Drug Court Eligibility (what types of offenders will be eligible for drug court).

1. Eligibility criteria (include information on current charges and prior convictions).
2. How and who determines eligibility.

I. Drug Court Structure (choose those that apply)

1. Deferred prosecution: Adjudication is deferred, and defendant is diverted to treatment program after being charged.
2. Postadjudication: Adjudication occurs, but sentence is deferred or pronounced and defendant enters the treatment program.
3. Other: Explain.

J. Length of Drug Court Program (in months).

B. Abstract

The second section of the Program Narrative must include a one-page summary of the program proposed for funding (for implementation and enhancement grant applicants only).

C. Program Design

The third section of the Program Narrative is the Program Design. See the FY 2001 Tribal Drug Court Grant Program section on page 14 for a synopsis of the goals and objectives of the grant program. To assist in the review of applications, follow the outline provided in each section. An applicant must select one of the following types of grants and provide a Program Design that does not exceed the page limits specified.

1. Tribal Drug Court Planning Grants: 6-page limit.
2. Adult Tribal Drug Court Implementation Grants: 26-page limit.
3. Juvenile Tribal Drug Court Implementation Grants: 26-page limit.
4. Tribal Drug Court Enhancement Grants: 12-page limit.

1. Tribal Drug Court Planning Grants

Tribal Drug Court Planning Grants are for jurisdictions that are interested in establishing either adult or juvenile tribal drug courts and are in the early stages of planning that effort. Tribal planning grants are available for up to a total of \$30,000 in Federal assistance and for up to 18 months. Grants will be made on a competitive basis. As part of the planning process, grant recipients are required to send up to eight team members to three DCPO-sponsored workshops.

The Program Design should describe the tribal drug court project to be planned and **must** include all of the following information.

- A. **Statement of the Problem** (1–2 pages): Briefly describe the nature and scope of the drug and alcohol problem in the community. It may help frame the issues by asking
1. What are the most abused drugs?
 2. How is this problem currently is being addressed (or not addressed)? Include any statistics about the drug and alcohol problem and any recent increase in nonviolent **drug, alcohol, and related offenses**.

The following information also may be included in this section.

1. A description of how the current system operates.
 2. The availability of resources in the community.
 3. The substance abuse patterns among adult offenders in the jurisdiction and the degree to which the patterns affect the community.
 4. The volume of arrests and crime patterns for adult offenders in the community.
- B. **Goals** (1–2 pages): Provide a broad statement (goals) describing why a tribal drug court is needed.
- C. **Description of the Planning Process** (1–2 pages): Describe the relevant stakeholders in the tribe's jurisdiction, how these parties will participate in the planning process, their capabilities and work experience, and the amount of time each person will spend on the project. The six key drug court team members must include a judge, prosecutor, defense advocate, treatment provider, and drug court coordinator. Applicants are strongly encouraged to identify a local evaluator and/or consultant to assist in the planning process.

IMPORTANT NOTE: The page limits that appear after each section in the Program Design are guides. Program Designs that exceed the 6-page limit **will not be considered**. Page numbering is strongly encouraged for the Program Design section of your application. Any appendixes or attachments other than those required **will not be considered**.

2. Adult Tribal Drug Court Implementation Grants

Adult Tribal Drug Court Implementation Grants are available for up to a total of \$500,000 in Federal assistance and for up to 3 years. To assist in the review of applications, follow the outline provided in each section. The Program Design should describe the adult tribal drug court project to be implemented and **must** include all of the following information.

- A. **Statement of the Problem** (½–1 page): Briefly describe the nature and scope of the problem in your jurisdiction that will be addressed by this project. It may help to frame the issues by asking

1. Is there a problem with how cases involving substance abuse are handled in the existing system?
2. How will the drug court change this?
3. Where, within the system, can the drug court have the greatest impact?
4. Whom will the drug court serve?

The following information also may be included in this section.

1. A description of how the current system operates.
2. The availability of resources in the community.
3. The substance abuse patterns among adult offenders in the jurisdiction and the degree to which the patterns affect the community.
4. The volume of arrests and crime patterns for adult offenders in the community.

- B. **Goals and Objectives** (½–1 page): Provide a broad statement (goals) describing the desired results of the proposed project and identify the specific objectives to be achieved. Goals and objectives should be described using measurable performance indicators and should include a discussion on how the achievement of goals will be measured. To begin the process of goal setting, it may be helpful to frame the issue by asking

1. What is the problem that will be addressed by the drug court?
2. What are the expected outcomes for the drug court?
3. What impact will the program have on the adult offender and the community?
4. How will we know that our goals have been achieved?

- C. **Description of the Drug Court Program** (8–10 pages): Describe the drug court program that will be implemented. All of the following questions must be answered and each key component addressed in the description (as applicable).

1. **Screening and Eligibility**

- a) What is the subgroup of adult offenders who will be eligible to receive the services of the drug court?

- b) How, and by whom, are eligible clients identified, screened, and referred to the drug court?
 - c) What is the average length of time, in days, between arrest and first appearance in the drug court?
 - d) What is the average length of time, in days, between arrest and enrollment in treatment?
 - e) Describe the monitoring process that will be implemented to ensure that the targeted capacity of the program is reached.
2. **Assessment**
- a) Who is responsible for conducting a clinical assessment of the client?
 - b) What are the assessment criteria? What instruments are used to assess the strengths and needs of the client?
 - c) What is the time period for conducting an initial assessment?
3. **Structure of the Adult Tribal Drug Court** (e.g., deferred prosecution, postadjudication, or a combination)
4. **Length of the Program**
5. **Case Processing**
- a) How does a case enter the drug court?
 - b) How is the case resolved, based on the client's successful or unsuccessful completion of the drug court program?
6. **Service Delivery Plan** (Applicants are strongly encouraged to review appendix E for guidance on the components of a comprehensive treatment continuum.)

Substance Abuse Treatment Services

- a) Does the drug court use one treatment provider or multiple providers?
- b) Describe the treatment provider(s) (e.g., public health organization such as the Indian Health Service (IHS), private nonprofit, for-profit). If IHS is a treatment provider, describe the current delivery of service.
- c) How do the treatment providers exchange information about a client's progress with members of the drug court team?
- d) Is the ethnicity of the treatment staff compatible with the target population?
- e) Describe how native culture will be incorporated into treatment services.
- f) Is an individualized treatment plan developed for each client that addresses the client's strengths and needs? If so, how often is this plan reviewed and/or revised?
- g) Describe in detail the treatment protocol (e.g., phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
- h) Describe the structured continuing care component of the drug court program.

- i) Do treatment services include (and, if so, how frequently)
 - Group counseling sessions?
 - Individual counseling sessions?
 - Family counseling sessions?
- j) Describe the gender- and age-specific treatment available.
- k) Does the program address anger management, violence prevention, victimization issues, and values formation as part of the program?

Aftercare/Continuing Care Services

- a) Who is responsible for working with clients to develop their aftercare continuing care plans? What is the client's role in developing the plan?
- b) Describe the services available to the clients.
- c) Describe the timeframe that services are available.
- d) Who is responsible for coordinating and managing the aftercare/continuing care services?

Note: The drug court statute requires that grant recipients provide aftercare/continuing care services. See Appendix E: Comprehensive Care Continuum for guidelines on developing aftercare/continuing care services.

Educational and Vocational Services

- a) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of collateral services?
- b) Describe how the drug court will meet these needs.

Primary and Mental Health Care Services

- a) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of collateral services?
- b) Describe how the drug court will meet these needs.
- c) Describe the role of the local medical and mental health community with the drug court program.

Collateral Services

- a) Who is responsible for working with clients to identify their collateral services needs and to ensure that these needs are met?
- b) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of collateral services?

c) Describe the collateral services available to clients. Collateral services may include, but are not limited to, the following:

- Public housing.
- Transportation.
- Mentoring programs.
- Community service.
- Cultural reemergence.
- Traditional treatment.
- Restoration: family, community, victim.
- Parenting skills training.
- Literacy programs.
- Family services and case conferencing.
- Parks and recreation centers.

7. Case Management

- a) Who is responsible for providing case management?
- b) How is case management defined?
- c) What services are provided?
- d) How frequently are cases monitored?
- e) What is the approximate caseload per case manager?

8. Law Enforcement

- a) What role will law enforcement have in the drug court?
 - How are jurisdictional issues being addressed?
 - Will the drug court accept referrals from other jurisdictions and share arrest data?

9. Judicial Supervision

- a) Does the drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of the clients? If not, how is this information provided to the judge?
- b) How frequently does the client appear before the judge?
- c) Who, other than the judge and the client, participates in the status hearings (e.g., prosecutor, advocate council members, probation officers, treatment counselors)? What are their roles?

10. Drug Testing

- a) How frequently are clients tested for drug use?
- b) Who is responsible for administering the drug tests?
- c) Are the drug tests administered randomly? Explain the randomization process.
- d) Are the drug tests observed as they are administered?
- e) What is the turnaround time for a result?

11. Incentives and Sanctions

- a) What are the graduated incentives and sanctions used in the program?
- b) What are the criteria for applying sanctions and incentives?
- c) How soon after an action (positive or negative) does the client receive the incentive or sanction?

12. Graduation Requirements

13. Expulsion Criteria

- 14. Community linkages** that have been, or will be, established to support the program. (Community agencies and organizations **may include, but are not limited to:** bar associations, businesses, civic groups, community foundations, faith organizations, health and mental health agencies, hospitals, media outlets, social service agencies, universities/colleges, and Urban League.)

- D. Roles and Responsibilities of the Drug Court Team** (1–2 pages): Identify each member of the drug court team and describe his or her role and responsibilities. Also describe the mechanisms that have been, or will be, established to ensure effective communication and coordination among the team. The six key drug court team members must include a judge, prosecutor, defense attorney, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator.
- E. Evaluation and Management Information System Plan** (8–12 pages): Grant recipients are **required** to conduct both a **process and an outcome evaluation**, and to collect and maintain the key data necessary to support both types of evaluations. Applicants must identify the independent evaluator who will assist the drug court in conducting the process and outcome evaluations. If the evaluator has not been identified, describe the steps the drug court will take to solicit and select the evaluator, and how the drug court will work with the evaluator to design the data collection process, collect and maintain the data, analyze the data, and prepare evaluation reports. Following is some specific guidance regarding information which must be included in this section of your application.

MIS Plan

- 1. Describe the methods planned for collecting, storing, and maintaining adequate data to support the drug court's operations as well as the process and outcome evaluations.

2. Describe the nature of the planned MIS, including staffing, hardware and software, standardized data collection forms, schedules of data entry, routine reports, quality assurance procedures, and statistical analysis capabilities.
3. Discuss how data related to court operations, individual participant characteristics and behaviors, and treatment services will be collected, maintained, and integrated into existing automated systems.
4. Discuss plans for data sharing agreements with treatment service providers and other agencies. Please note that all applicants are expected to adhere to applicable local, State, and Federal confidentiality guidelines and requirements, including treatment program records.

Process Evaluation. The data collection plan must enable the drug court to summarize its basic operations and services delivery, client characteristics, and treatment outcomes.

1. Describe how the evaluation will include both qualitative and quantitative information.
2. Describe the minimum data set that will be used (see appendix D for suggestions) and how it will allow the drug court to describe the target population, the screening and assessment process, intake flow, sanctions and incentives, drug test results, in-program rearrests, number of status hearings, failure and completion rates, services delivered, and referrals made.
3. Provide information on how the MIS will be flexible enough to allow the evaluator to analyze the following by participant characteristics and other factors: program services received, drug test results, in-program rearrests, length of time in the program, sanctions and rewards, number of court hearings, and completion rates.
4. Describe the specific data elements to be collected and analyzed for the process evaluation, and how these data will be used for program operation and management.
The Drug Court Grantee Data Collection Survey (see appendix C) can be used as a starting point to identify these data elements. Appendix D (Process Evaluations and MIS) also contains useful information to guide the development of a proposed data collection plan.
5. Describe how the process evaluation will assist the drug court in assessing the effectiveness of its operations and ability to meet its goals and objectives, and how the findings could be used to change and improve the court's operations.

The process plan should incorporate measurable program goals and objectives. Examples include number and type of target population screened and admitted, program completion rates, average time in program (or 1-year retention rates, cohort-based), percentage of drug tests that are negative, percentage of participants rearrested during program participation, amount and type of services received, and percentage of participants employed after 1 year.

Outcome Evaluation. A feasible plan for collecting and analyzing the impact of the drug court on 1-year post-program recidivism outcomes is required.

1. Describe the plan for collecting data on rearrests, reconviction, and/or reincarceration for a period of 1 year following drug court completion (or dropout). *Applicants are encouraged to consider the collection of recidivism data for longer than a 1-year post-program period. In addition, the identification of sources of data for other post-program outcomes (such as drug use, employment and earnings, health care, drug treatment participation, etc.) is strongly encouraged (but not required) and should be described if available.*
2. Describe the sources of data on rearrests and other outcome measures, and how these measures will be defined. It is recommended that individual rather than aggregate outcome data be collected and maintained. **The Drug Court Grantee Data Collection Survey (see appendix C) can be used as a starting point to identify these data elements.**
3. Identify and justify a comparison group for measuring the relative change in post-program recidivism outcome measures. The comparison group should be as similar as possible to the drug court participants.
4. Describe the procedures for collecting comparison group data on court processing, individual characteristics, rearrests, and other outcome measures if available.
5. Describe the specific data elements to be collected and analyzed for the outcome evaluation, and how these data will be used for program operation and management.
6. Describe how the outcome evaluation will assist the drug court in assessing the effectiveness of its operations, and how the findings could be used to change and improve the court's operations.
7. Describe the products expected from the evaluation.

NOTE: If it is available, a copy of the consent form related to the collection of research data should be included with the application. If not please note that grant recipients will be required to submit it as a term and condition of their grant award. Applicants for implementation grants are not required to submit detailed final evaluation plans with this application. However, grant recipients will be required to submit evaluation plans to DCPO for approval prior to release of grant funds to support the evaluation component.

IMPORTANT NOTE: The page limits that appear after each section in the Program Design narrative are guides. Design Narratives that exceed the 26-page limit **will not be considered**. Page numbering is strongly encouraged for the Program Design section of your application. Any appendixes or attachments other than those required **will not be considered**.

Training and Technical Assistance

Implementation grant applicants must include a line item in the budget for training and technical assistance or for members of the drug court team to visit an operational drug court. The DCPO Tribal Drug Court Training and Technical Assistance Program provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance is designed to promote

and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs. See page 87 for more information on the Tribal Drug Court Training and Technical Assistance Program.

3. Juvenile Tribal Drug Court Implementation Grants

With the success of drug courts in reducing recidivism over the past 10 years and the success of tribal drug courts in the past 3 years in reducing recidivism, the application of drug court principles to populations in the juvenile courts was the next logical step. However, applying adult drug court principles to juvenile populations is not as easy as replicating the adult model. The circumstances and needs of youth and their families are different from those of adult criminal offenders. Accordingly, implementation of a drug court aimed at youth is significantly different than one aimed at adults.

Because juvenile drug courts are still relatively young in their development, much remains to be learned about how practitioners can intervene most effectively with juvenile populations in a drug court setting. What we have learned from the emergence of juvenile drug courts over the past several years is that when applying the drug court concept to juvenile populations, it is essential that the program incorporate individually tailored, comprehensive treatment that draws on the strengths and addresses the needs of participants and their families. In addition, engagement of the neighborhood and broader community is important to improving the likelihood of long-term success with the juvenile substance-abusing offender.

Juvenile drug courts are fundamentally different from their adult counterparts in part due to the complexity of working with youth and their families. In contrast to adults, youth often are not addicted to drugs in the traditional sense, although they may be dependent upon substances to function on a daily basis. They usually live within families, however defined, and are required to abide by laws specific to juveniles, such as the law requiring them to attend school. Furthermore, they are still developing the cognitive, social, and emotional skills necessary to lead a productive life, the outcome of which is significantly influenced by their families, peers, schools, and community relationships. They may use drugs for vastly different reasons than adults. These issues present unique challenges to practitioners as they design and implement a juvenile drug court program. Juvenile drug court programs must be developmentally based, culturally relevant, and gender specific (in terms of treatment services, skill building activities, incentives and consequences/sanctions, and length of program). Finally, an effective juvenile drug court not only must serve the juvenile but must serve his or her entire family. This requires a significant shift in focus from a single participant to a family and an expansion of the comprehensive continuum of care.

A jurisdiction planning or implementing a juvenile drug court should take very special care to recognize the differences between adult and juvenile drug courts.

Juvenile Tribal Drug Court Implementation Grants are available for up to a total of \$500,000 in Federal assistance and for up to 3 years. To assist in the review of applications, follow the outline provided in each section. The Program Design should describe the juvenile drug court project to be implemented and must include all of the following information.

- A. **Statement of the Problem** ($\frac{1}{2}$ –1 page): Briefly describe the nature and scope of the problem in your jurisdiction that will be addressed by this project. It may help to frame the issues by asking

1. Is there a problem with how cases involving substance abuse are handled in the existing system?
2. How will the drug court change this?
3. Where, within the system, can the drug court have the greatest impact?
4. Whom will the drug court serve?

The following information also may be included in this section.

1. A description of how the current system operates.
2. The availability of resources in the community.
3. The substance abuse patterns among juveniles in the jurisdiction and the degree to which the patterns affect families and the community.
4. The volume of arrests and crime patterns for juvenile offenders in the community.
5. The degree to which families are involved in the current system (e.g., a family that has a pending family, criminal, and/or juvenile court case).

- B. **Goals and Objectives** ($\frac{1}{2}$ –1 page): Provide a broad statement (goal) describing the desired results of the proposed project and identify the specific objectives to be achieved. Goals and objectives should be described using measurable performance indicators and should include a discussion on how the achievement of goals will be measured. When measuring success with juveniles, it is important to include indicators of recidivism and substance abuse relapse as well as indicators of improved individual and family functioning (e.g., a decrease in police calls to the residence or the completion of a vocational training program or school success). To begin the process of goal setting, it may be helpful to frame the issue by asking

1. What is the problem that will be addressed by the juvenile drug court?
2. What are the expected outcomes for the juvenile drug court?
3. What impact will the program have on the juvenile, the family, and the community?
4. How will we know that our goals have been achieved?

- C. **Description of the Juvenile Drug Court Program** (8–10 pages): Describe the juvenile drug court program that will be implemented. All of the following questions must be answered in the description.

1. **Screening and Eligibility**

- a) What is the subgroup of juveniles and their families who will be eligible to receive the services of the juvenile drug court?

- b) How, and by whom, are eligible juveniles identified, screened, and referred to the juvenile drug court?
 - c) What is the average length of time, in days, between arrest and first appearance in the drug court?
 - d) What is the average length of time, in days, between arrest and enrolled in treatment?
 - e) Describe the monitoring process that will be implemented to ensure that the targeted capacity of the program is reached.
2. **Assessment**
- a) Who is responsible for conducting a clinical assessment of the juvenile and his or her family?
 - b) What are the assessment criteria? What instruments are used to assess the strengths and needs of the juvenile and his or her family?
 - c) What is the time period for conducting an initial assessment?
 - d) What role does the family play in the assessment process?
3. **Structure of the Juvenile Tribal Drug Court** (e.g., deferred prosecution, postadjudication, or a combination)
4. **Length of the Program**
5. **Case Processing**
- a) How does a case enter the juvenile drug court?
 - b) How is the case resolved, based on the juvenile's successful or unsuccessful completion of the juvenile drug court program?
6. **Service Delivery Plan** (Applicants are strongly encouraged to review appendix E for guidance on the components of a comprehensive treatment continuum.)

Substance Abuse Treatment Services

- a) Does the juvenile drug court use one treatment provider or multiple providers?
- b) Describe the treatment provider(s) (e.g., public health organization such as the Indian Health Service (IHS), private nonprofit, for-profit). If IHS is the provider, describe its current delivery of services.
- c) Describe the treatment provider's ability to provide developmentally-based services to juveniles and to provide services to their families.
- d) How do the treatment providers exchange information about a client's progress with members of the juvenile drug court team?
- e) Is an individualized treatment plan developed for each client and his or her family that addresses the client's strengths and needs? If so, how often is this plan reviewed and/or revised?
- f) Describe how native culture will be incorporated into treatment services.

- g) Is the ethnicity of the treatment staff compatible with the target population?
- h) Describe the gender- and age-specific treatment available.
- i) Describe in detail the treatment protocol (e.g., phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
- j) Do treatment services include (and, if so, how frequently)
 - Group counseling sessions?
 - Individual counseling sessions?
 - Family counseling sessions?
- k) Does the program address anger management, violence prevention, victimization issues, and values formation as part of the program?
- l) Describe how the family will be engaged to participate in the juvenile's substance abuse treatment plan and services they will receive.
- m) Can a family member be placed into a treatment program if needed?

Aftercare/Continuing Care Services

- a) Who is responsible for working with clients to develop their aftercare/continuing care plans? What is the client's role in developing the plan?
- b) Describe the services available to the clients.
- c) Describe the timeframe that services are available.
- d) Who is responsible for coordinating and managing the aftercare/continuing care services?

Note: The drug court statute requires that grant recipients provide aftercare/continuing care services. See Appendix E: Comprehensive Care Continuum for guidelines on developing aftercare/continuing care services.

Educational and Vocational Services

- a) Describe how the juvenile drug court will meet these needs.
- b) Describe the role of the local education system in relation to the juvenile drug court program.

Primary and Mental Health Care Services

- a) To what extent are community resources available, and being leveraged by the juvenile drug court, to assist in the provision of collateral services?
- b) Describe how the juvenile drug court will meet these needs for the juvenile and the family.
- c) Describe the role of the local medical and mental health community with the juvenile drug court program.

Collateral Services

- a) Who is responsible for working with juveniles to identify their collateral services needs and to ensure that these needs are met?
- b) To what extent are community resources available, and being leveraged by the juvenile drug court, to assist in the provision of collateral services?
- c) Describe the collateral services available to clients. Collateral services may include, but are not limited to the following:
 - Public housing.
 - Transportation.
 - Mentoring programs.
 - Community service.
 - Cultural reemergence.
 - Traditional treatment.
 - Restoration: family, community, victim.
 - Parenting skills training.
 - Literacy programs.
 - Family services and case conferencing.
 - Parks and recreation centers.

7. Case Management

- a) Who is responsible for providing case management?
- b) How is case management defined?
- c) What services are provided?
- d) How frequently are cases monitored?
- e) What is the approximate caseload per case manager?
- f) Does case management include visits to the home?

8. Law Enforcement

- a) What role will law enforcement have in the drug court?
 - How are jurisdictional issues being addressed?
 - Will the drug court accept referrals from other jurisdictions and share arrest data?

9. Judicial Supervision

- a) Does the juvenile drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of juveniles and their families? If not, how is this information provided to the judge?
- b) How frequently does the juvenile appear before the judge? Is the family required to attend?
- c) Who, other than the judge and the juvenile, participates in the status hearings (e.g., prosecutor, defense attorney, probation officers, treatment counselors)? What are their roles?
- d) Are the status hearings scheduled for a time when the juvenile and the family can attend?

10. Drug Testing

- a) How frequently are clients tested for drug use?
- b) Who is responsible for administering the drug tests?
- c) Are the drug tests administered randomly? Explain the randomization process.
- d) Are the drug tests observed as they are administered?
- e) Can the family members be tested for drug use?
- f) What is the turnaround time for the results?

11. Incentives and Sanctions

- a) What are the graduated incentives and sanctions used in the program?
- b) What are the criteria for applying sanctions and incentives?
- c) How soon after an action (positive or negative) does the client receive the incentive or sanction?

12. Graduation Requirements

13. Expulsion Criteria

- 14. Community linkages** that have been or will be established to support the program. (Community agencies and organizations **may include, but are not limited to:** bar associations, Boys and Girls Clubs, businesses, civic groups, community foundations, faith organizations, health and mental health agencies, hospitals, media outlets, social service agencies, universities/colleges, and Urban League.)

- D. Roles and Responsibilities of the Juvenile Drug Court Team** (1–2 pages): Identify each member of the juvenile drug court team and describe his or her role and responsibilities. Also describe the mechanisms that have been, or will be, established to ensure effective communication and coordination among the team. The seven key juvenile drug court team members must include a judge, prosecutor, defense attorney, treatment provider, school representative, researcher/evaluator/management information specialist, and juvenile drug court coordinator.

- E. **Evaluation and Management Information System Plan** (8–12 pages): Applicants are **required** to conduct both a process and an outcome evaluation, and to collect and maintain the key data necessary to support both types of evaluations. Applicants must identify the independent evaluator who will assist the drug court in conducting the process and outcome evaluations. If the evaluator has not been identified, describe the steps the drug court will take to solicit and select the evaluator, and how the drug court will work with the evaluator to design the data collection process, collect and maintain the data, analyze the data, and prepare evaluation reports.

Particular data collection issues pertain to juvenile drug court clients and must be considered and addressed in the grant application. Data collection issues include the need to collect school attendance and performance data, as well as data from the parents of drug court participants. Specific data elements to be collected from schools and families should be discussed. Strategies for obtaining such information should be described, including obtaining necessary data sharing agreements and consents and maintaining the confidentiality of juvenile records. All applicants are expected to adhere to applicable local, State, and Federal confidentiality guidelines and requirements for the collection of juvenile records. Following is some specific guidance regarding information which must be included in this section of your application.

MIS Plan

1. Describe the methods planned for collecting, storing, and maintaining adequate data to support the drug court's operations as well as the process and outcome evaluations.
2. Describe the nature of the planned MIS, including staffing, hardware and software, standardized data collection forms, schedules of data entry, routine reports, quality assurance procedures, and statistical analysis capabilities.
3. Discuss how data related to court operations, individual participant characteristics and behaviors, and treatment services will be collected, maintained, and integrated into existing automated systems.
4. Discuss plans for data sharing agreements with treatment service providers and other agencies. Please note that all applicants are expected to adhere to applicable local, State, and Federal confidentiality guidelines and requirements, including treatment program records.

Process Evaluation. The data collection plan must enable the drug court to summarize its basic operations and services delivery, client characteristics, and treatment outcomes.

1. Describe how the evaluation will include both qualitative and quantitative information.
2. Describe the minimum data set that will be used (see appendix D for suggestions) and how it will allow the drug court to describe the target population, the screening and assessment process, intake flow, sanctions and incentives, drug test results, in-program rearrests, number of status hearings, failure and completion rates, services delivered, and referrals made.

3. Provide information on how the MIS will be flexible enough to allow the evaluator to analyze the following by participant characteristics and other factors: program services received, drug test results, in-program rearrests, length of time in the program, sanctions and rewards, number of court hearings, and completion rates.
4. Describe the specific data elements to be collected and analyzed for the process evaluation, and how these data will be used for program operation and management. **The Drug Court Grantee Data Collection Survey (see appendix C) can be used as a starting point to identify these data elements. Appendix D (Process Evaluations and MIS) also contains useful information to guide the development of a proposed data collection plan.**
5. Describe how the process evaluation will assist the drug court in assessing the effectiveness of its operations and ability to meet its goals and objectives, and how the findings could be used to change and improve the court's operations.

The process plan should incorporate measurable program goals and objectives. Examples include number and type of target population screened and admitted, program completion rates, average time in program (or 1-year retention rates, cohort-based), percentage of drug tests that are negative, percentage of participants rearrests during program participation, amount and type of services received, and percentage of participants employed after 1 year.

Outcome Evaluation. A feasible plan for collecting and analyzing the impact of the drug court on 1-year post-program recidivism outcomes is required.

1. Describe the plan for collecting data on rearrests, reconviction, and/or reincarceration for a period of 1 year following drug court completion (or dropout). *Applicants are encouraged to consider the collection of recidivism data for longer than a 1-year post-program period. In addition, the identification of sources of data for other post-program outcomes (such as drug use, employment and earnings, health care, drug treatment participation, etc.) is strongly encouraged (but not required) and should be described if available.*
2. Describe the sources of data on rearrests and other outcome measures, and how these measures will be defined. It is recommended that individual rather than aggregate outcome data be collected and maintained. **The Drug Court Grantee Data Collection Survey (see appendix C) can be used as a starting point to identify these data elements.**
3. Identify and justify a comparison group for measuring the relative change in post-program recidivism outcome measures. The comparison group should be as similar as possible to the drug court participants.
4. Describe the procedures for collecting comparison group data on court processing, individual characteristics, rearrests, and other outcome measures if available.
5. Describe the specific data elements to be collected and analyzed for the outcome evaluation, and how these data will be used for program operation and management.

6. Describe how the outcome evaluation will assist the drug court in assessing the effectiveness of its operations, and how the findings could be used to change and improve the court's operations.
7. Describe the products expected from the evaluation.

NOTE: If they are available, a copy of the forms related to the collection of research data should be included with the application. If this item is not available, please note that grant recipients will be required to submit them as a term and condition of their grant award. Applicants for implementation grants are not required to submit detailed final evaluation plans with this application. However, grant recipients will be required to submit evaluation plans to DCPO for approval prior to release of grant funds. Juvenile consent and parental consent forms related both to drug court participation and collection of research data should be included with the application.

IMPORTANT NOTE: The page limits that appear after each section in the Program Design are guides. Program Designs that exceed the total 26-page limit **will not be considered**. Page numbering is strongly encouraged for the Program Design section of your application. Any appendixes or attachments other than those required **will not be considered**.

Training and Technical Assistance

Applicants **must** include a line item in the budget for training and technical assistance or for members of the juvenile drug court team to visit an operational juvenile drug court. The DCPO Tribal Drug Court Training and Technical Assistance Program provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance is designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective juvenile drug court programs. See page 87 for more information on the Tribal Drug Court Training and Technical Assistance Program.

4. Tribal Drug Court Enhancement Grants

Tribal Drug Court Enhancement Grants are available for up to a total of \$300,000 in Federal assistance and for up to 2 years. The Program Design must fully describe the type of enhancement(s) requested. If the jurisdiction requesting funds in this category has already received a DCPO grant, it must demonstrate a compelling need for additional Federal funding and provide a sound explanation as to why State and/or local funds will not support this initiative. In addition, a clear explanation about when State and/or local funds will be available for this endeavor must be provided.

- A. **Overview of the Drug Court** (3–4 pages): Provide an overview of the current program that demonstrates how the drug court has achieved its goals and objectives. The overview must include
1. The impact the program has had on the community.
 2. How the current evaluation findings have led to the type of enhancement requested.
 3. Statistical information on program success, including
 - Capacity of the program.
 - Retention rate.
 - Daily average number of clients enrolled.
 - Total clients and graduates since the beginning of program.
- B. **Description of the Type of Enhancement** (6–8 pages): An applicant may apply for one or more of the following types of drug court enhancements.
1. If the application is to **continue program operation and/or enhance the resources available to the drug court**, provide a full description of how the program will be continued and/or how resources will be enhanced. The description should include why the funds are needed, what problems will be addressed by continuing the program and/or enhancing the resources, the goals and objectives of the proposed enhancement, and how drug court clients will benefit from the continuation of the program and/or the enhancement of resources.
 2. If the application is to **provide additional services to drug court clients**, describe the services. The description should include a justification of the need for the additional services, the problems that will be addressed by the provision of additional services, the goals and objectives of the proposed enhancement, and an explanation of how these additional services will benefit the drug court clients.
 3. If the application is to **develop training programs for drug court practitioners**, provide a full description of the proposed training program. The description should include why the funds are needed, the goals and objectives of the training(s), the planned target audience, how the training program(s) will be organized, the intended impact of the training(s), how the training program(s) will be evaluated, and the intended followup after the training

event(s). The applicant should also address how the training programs will incorporate the 10 key components of a drug court (see the OJP publication *Defining Drug Courts: The Key Components*).

If the application requests funds for drug court practitioners to attend training programs, provide information on the subject matter of the programs to be attended, who will attend them, and what the practitioners will gain by attending.

4. If the application is to **conduct a process and/or outcome evaluation**, identify the independent evaluator who will work with the drug court to conduct the required process evaluation. Describe how the process evaluation will assist the drug court in learning how it is meeting its operational and administrative goals and how to adjust policies and procedures, if warranted. Identify the specific information that will be collected and analyzed as part of the process evaluation. Describe the specific data elements that will be collected, and explain how this data will be collected for use in program operation and management. The description should include the specific quantifiable goals that will be tracked and the method for measuring progress toward those goals. The Drug Court Grantee Data Collection Survey (see appendix C) should be used as a guide in identifying these data elements. (Applicants are strongly encouraged to review the Evaluation and Management Information System Plan component of the Implementation Grant Category on page 35 and appendix D for guidance on evaluations and management information systems).

All applicants should submit any existing outside evaluation reports (unless the application is for an outside evaluation), as well as reports prepared and submitted by the evaluator. Please mail a copy of these reports to DCPO, 810 Seventh Street NW., Washington, DC 20531. These documents must be postmarked by February 15, 2001. Please indicate your application number clearly on each report submitted.

5. If the application is to **develop and implement an automated management information system (MIS)**, provide a full description of the proposed MIS. The description should include why the funds are needed, what problem will be addressed, how information is currently being collected and analyzed, who will have direct online access to the MIS, who will enter data into the MIS, how the MIS development will be organized and who will be responsible for the project, whether or not the MIS development will be integrated into existing systems, if and how the MIS development will expand existing capabilities, identification of consultants or trainers, and a description of how the consultants or trainers will be used. Systems developed must be capable of collecting the data required for submission in the Drug Court Grantee Data Collection Survey (see appendix C) and supporting national evaluation activity (see appendix D).

IMPORTANT NOTE: Please mail a copy of the Policy and Procedures Manual to the Drug Courts Program Office, 810 Seventh Street NW., Washington, DC 20531. The manual must be post marked by February 15, 2001. Include the application number on the manual. If you have submitted a Policy and Procedures Manual as a grant recipient of the Drug Courts Program Office, you do not need to resubmit; indicate this on the Applicant Information Page.

IMPORTANT NOTE: The page limits that appear after each section in the Program Design should serve as a guide. Program Designs that exceed the total 12-page limit **will not be considered**. Page numbering is strongly encouraged for the Program Design section of your application. Any appendixes or attachments other than those required **will not be considered**.

D. Time Task Plan

The fourth section of the Program Narrative is a Time Task Plan. As part of the Program Narrative, all implementation and enhancement grant applicants must submit a Time Task Plan for implementing the project to include a detailed time schedule. This plan must cover the entire grant period and include the following information.

1. The **goals** of the project. A goal is defined as the end toward which a program's efforts are directed. Goals can be presented as action statements indicating the ultimate purpose of a program. Goals must be realistic, quantifiable, and attainable.
2. The specific **objectives** and activities associated with each goal. An objective is defined as a specific effect, resulting from a program's activities, that must be achieved in pursuit of the program's ultimate goals.
3. The timeframes associated with each **activity**. An activity is defined as a service or function carried out by the program to achieve the stated objectives.
4. The **person(s) responsible** for ensuring that the activities are accomplished.

The following is a sample of a partial Time Task Plan.

Goal #1 Establish coordination among agencies involved in developing, implementing, and maintaining the drug court program.		
Objectives	Activities/Timeframe	Person Responsible
Identify agencies and key representatives needed for a drug court program.	Establish roles and responsibilities for people involved in implementing the drug court program. March 1, 2001.	All invited agencies: judiciary, district attorney, defense bar, treatment agencies, court administrator, law enforcement, school administrator (for juvenile drug court).
Establish communications with key stakeholders from partner agencies.	Make initial contact with the drug court judge, assistant district attorney, defense attorney, drug court coordinator, and treatment provider (residential and outpatient). March 1, 2001. Subsequent meeting to follow. April 3, 2001.	Drug court coordinator will plan the initial meeting. The second meeting will be located at the outpatient treatment providers facility.
	Establish memorandum of understanding or agreements with each necessary agency. April 15, 2001.	Judge.
	Establish agreements with outside community groups for extra drug court activities. May 15, 2001.	Drug court coordinator.
	Plan and hold monthly administrative meetings with partner agencies. March 1, 2001, through end of project.	Steering Committee.

Goal #2 Construct the complete case processing plan from program entry to graduation/termination.		
Objectives	Activities/Timeframe	Person Responsible
Have a complete plan for each client when they enter the program.	Construct the drug court program flow chart. April 10, 2001.	Drug court team.
Create the Policies and Procedures Manual (per grant requirement).	Include procedures of the program, from arrest to graduation/termination. August 30, 2001.	Drug court coordinator and team.
	Create role descriptions for each team member. August 30, 2001.	Drug court team.
	List graduation and termination criteria. September 1, 2001.	Drug court team.
	Circulate Policies and Procedures Manual to steering committee for review. June 1, 2001.	Judge.
	Submit Policies and Procedures Manual to DCPO per grant requirement. One hundred twenty days after receipt of grant.	Drug court team.

E. Applicant Certifications

The fifth section of the Program Narrative is the Applicant Certifications. Implementation and enhancement grant applicants are required to provide written certification in response to each of the following 10 items. Planning grant applicants must respond to items 1–3 and 8. Please provide a statement for each item as part of the Program Narrative file.

1. Coordination of Federal Efforts

Provide the following information:

- A. A copy of any active Federal grant award (from the U.S. Department of Justice, other Federal agency, or other entity) already supporting this or related efforts.
- B. Information on any pending application(s) for Federal money for this or related efforts.
- C. An explanation of how the pending application would be coordinated with the funding sought by this application.

For each, include the project title, the Federal grantor agency, the Federal award amount, and a very brief description of the project's purpose and how the applicant plans to coordinate the project. This information is requested to encourage better coordination among Federal agencies in addressing State and local needs.

“Related efforts” is defined as those efforts that:

- Have the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants).
- Constitute another phase or component of the same program or project (e.g., to implement a planning effort funded by other Federal monies or to provide a substance abuse treatment or education component within a criminal justice project).
- Provide services of some kind (e.g., technical assistance, research, evaluation) to the program or project described in the application.
- Provide information identifying related State, local, or community initiatives that complement or will be coordinated with this application.

2. Coordination With State, Local, and Community-Based Initiatives

Identify the following:

- A. Related State or local government or community-based initiatives that complement this application.
- B. Related State or local government or community-based initiatives that are coordinated with this application and how that coordination will be achieved.
- C. The impact this initiative will have on the drug court.

3. OJP-Sponsored Technical Assistance and Training

Implementation grant applicants **must** include a line item in the budget either for training, for technical assistance, or for members of the drug court team to visit an operational drug court. The DCPO Drug Court Training and Technical Assistance Program provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance is designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs. (See page 85 for more information on the Drug Court Training and Technical Assistance Program.)

4. Current Inability To Fund and Intention To Fund After the Federal Assistance

Explain the inability to fund the program adequately without Federal assistance. Applicants also must provide certification of the intention and capability of the jurisdiction to continue the program after the Federal funding.

5. Certification required by Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 U.S.C. 3796 ii et seq.

- A. Applicants must certify that there has been appropriate consultation with all affected agencies and that there will be appropriate coordination with all affected agencies during the implementation of the program.

Specific examples of consultation and coordination, as well as the identities of the affected agencies, must be provided. For example, the drug court will coordinate with the Brownville Unitarian Church to provide counseling services to its clients.

- B. Applicants must certify that participating offenders will be supervised by one or more designated judges who has responsibility for the drug court program.

6. Treatment Providers

Provide certification that all treatment programs and providers used in the drug court program are licensed, certified, or accredited by appropriate State government or professional agencies.

7. Violent Offenders

Provide certification that violent offenders, as defined by Section 2203 of the Crime Act, will be excluded from drug court programs receiving funds under this program.

8. Supplanting Prohibition

Provide certification that Federal funds will be used to supplement existing funds for program activities and will not replace (supplant) non-Federal funds that have been appropriated for the same purpose. Potential supplanting will be subject to monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

9. Human Subject Testing

Indicate whether the project or activity proposed in your application includes research that may involve human subjects, as defined in 28 CFR Part 46.

The Department of Justice is a signatory to the Federal policy on protection of human subjects of research, the “Common Rule.” DOJ’s incorporation of the Common Rule is set forth in 28 CFR Part 46, Protection of Human Subjects, which requires that research involving human subjects be submitted to an independent review board for approval and that informed consent procedures be followed. The policies set forth in 28 CFR Part 46 apply to all research involving human subjects conducted, supported, or otherwise subject to regulation by any Federal department or agency that has adopted the Common Rule. Federal funds may not be expended for research involving human subjects unless the requirements of this policy have been satisfied if the research is not covered by an exemption set forth in 28 CFR section 46.101(b)(1).

10. Information Technology

The Office of Justice Programs encourages integration and interoperability of information technology (IT) systems between all justice agencies and across Federal, State, and local jurisdictional boundaries. IT systems include automated information systems used by each of the justice system components (law enforcement, courts, prosecution, defense, corrections, probation, and parole) in their internal day-to-day business and in communicating with each other. To support State and local justice integration and interoperability of these systems, OJP asked the Governor to designate a “point of contact” to provide information on IT plans and coordination in your State. State and local recipients of awards that will be used in whole or in part for information systems may be required by the awarding OJP bureau to communicate with this point of contact about their information technology plans. By increasing State and local communication when planning and implementing information technology, OJP funds may be used to support interoperable, rather than isolated, information systems.

The name and address of your State information technology point of contact can be obtained by calling our customer service line at 1-800-421-6770 or by visiting the OJP Web site at www.ojp.usdoj.gov.

F. Consent Form

The final section of the Program Narrative is **only** for adult and juvenile tribal drug court implementation and enhancement grant applicants.

Provide a copy of the **Consent Form** that will be used to ensure patient confidentiality, as required by 42 U.S.C. section 290dd-2, and the regulations implementing these laws in 42 CFR part 2. For further information see *Drug Court Resource Series: Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*, U.S. Department of Justice, 1999, NCJ 176977. The sample consent forms from this publication appear on pages 57–58.

SAMPLE

CONSENT FOR DISCLOSURE OF CONFIDENTIAL SUBSTANCE ABUSE INFORMATION: DRUG COURT REFERRAL

I, defendant's name, hereby consent to communication between treatment program's name and Judge name of presiding judge, name of prosecuting attorney or prosecutor's office, name of defense attorney, the probation department of jurisdiction, (and/or other referring agency), (other).

The purpose of and need for this disclosure is to inform the court and other above-named parties of my eligibility and/or acceptability for substance abuse treatment services and my treatment attendance, prognosis, compliance, and progress in accordance with the drug court monitoring criteria.

Disclosure of this confidential information may be made only as necessary for and pertinent to hearings and/or reports concerning charges, docket number, indictment number.

I understand that this consent will remain in effect and cannot be revoked by me until there has been a formal and effective termination of my involvement with the drug court for the case named above, such as the discontinuation of all court (and/or, where relevant, probation) supervision upon my successful completion of the drug court requirements or upon sentencing for violating the terms of my drug court involvement (and/or, where relevant, probation).

I understand that any disclosure made is bound by Part 2 of Title 42 of the Code of Federal Regulations, which governs the confidentiality of substance abuse patient (or client) records, and that recipients of this information may redisclose it only in connection with their official duties.

Date

Signature of Defendant

Signature of parent, guardian or representative (if required)

QUALIFIED SERVICE ORGANIZATION AGREEMENT

Between

PIONEER CLAIM MANAGEMENT and OSBORNE TREATMENT SERVICES, INC.

PIONEER CLAIM MANAGEMENT (PIONEER) and OSBORNE TREATMENT SERVICES, INC. (OSBORNE) hereby enter into a Qualified Service Organization Agreement whereby PIONEER agrees to provide liability insurance representation, including contracting for legal services, to OSBORNE in the matter of *Luis Martinez vs. 809 Realty Corp. and Osborne Treatment Services, Inc.* Furthermore, PIONEER

- 1) acknowledges that in receiving, storing, processing, or otherwise dealing with any information from OSBORNE about any client of OSBORNE, past or present, PIONEER and all of its agents and assigns are fully bound by the provisions of the Federal laws and regulations governing the Confidentiality of Drug and Alcohol Abuse Patient Records (*42 United States Code Section 290dd-2* and *42 Code of Federal Regulations Part 2*); and
- 2) undertakes to resist, in judicial proceedings if necessary, any efforts to obtain access to information pertaining to any OSBORNE client otherwise than as expressly provided for in the Federal confidentiality regulations (*42 CFR Part 2*).

Executed this day of _____, 1998

Signature of PIONEER Officer

Signature of OSBORNE Officer

Print Name of Signing Officer

Print Name of Signing Officer

Title of Signing Officer
PIONEER CLAIM MANAGEMENT
195 Lake Louise Marie Road
Rock Hill, NY 12775

Title of Signing Officer
OSBORNE TREATMENT SERVICES, INC.
809 Westchester Avenue
Bronx, NY 10455

3. Budget Narrative and Budget Detail Worksheet Attachments

The next step in the Application Process is the budget. The applicant must submit both a Budget Narrative and a Budget Detail Worksheet. The Budget Narrative justifies or explains each budget item and relates it to project activities. The Budget Detail Worksheet provides the detailed computation for each budget item. For guidance developing your drug court budget applicants should pay careful attention to “Drug Court Budgets: Allowable and Unallowable Costs” on page 63. A blank Budget Detail Worksheet appears on page 67.

Applicants applying for a **planning grant** are required to do the following:

1. Provide a Budget Detail Worksheet (as found on page 67), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities.
2. Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs with a 25-percent match requirement. As required by statute, a portion of the match must be in cash. The term “portion” is not defined. Please refer to page 93 for more information on this match requirement. **Applicants must note clearly on the Budget Detail Worksheet the budget items that represent local match. For example, the individual items that represent local match may be indicated with an asterisk.**
3. The budget must be complete and reasonable and must comply with the criteria set forth in “Drug Court Budgets: Allowable and Unallowable Costs” on page 63.
4. Consideration of the reasonableness of a budget will be based, in part, on an examination of the ratio of the number of clients to be served by the drug court to the amount of Federal funds requested.
5. It is imperative that the amount of Federal funds requested in box A under the “Estimated Funding” in GMS reflect the total amount of Federal funds over the entire project period.
6. Similarly, the amount given in box B under “Estimated Funding” in GMS should reflect the entire 25-percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the Federal request and the match amount.
7. **Applicants must include travel to three required workshops for up to eight members of the tribal drug court planning team.** The DCPO Drug Court Training and Technical Assistance Program provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance is designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs. (See page 85 for more information on the Drug Court Training and Technical Assistance Program.)

Applicants applying for an **implementation grant** are required to do the following:

1. Provide a Budget Detail Worksheet (as found on page 67), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide the following:
 - a) Complete Budget Detail Worksheet and Budget Narrative for year 1 of the project.
 - b) Complete Budget Detail Worksheet and Budget Narrative for year 2 of the project.
 - c) Complete Budget Detail Worksheet and Budget Narrative for year 3 of the project.
 - d) Year 1, year 2, and year 3 Budget Detail Worksheets must be uploaded to the Budget Detail Worksheet as one file. Similarly, year 1, year 2, and year 3 Budget Narratives must be uploaded to the Budget Narrative attachment as one file. Only the most current file uploaded as an attachment is saved as part of the application. If you do not assemble and attach year 1, year 2, and year 3 as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches year 1 as one file and subsequently attaches year 2 as a separate file, we will only receive year 2. Please note that in order for your application to be considered for funding all year 1, year 2, and year 3 Budget Detail Worksheets and Budget Narratives must be submitted.
2. Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs with a 25-percent match requirement. As required by statute, a portion of the match must be in cash. The term “portion” is not defined. Please refer to page 93 for more information on this match requirement. **Applicants must note clearly on the Budget Detail Worksheet the budget items that represent local match. For example, the individual items that represent local match may be indicated with an asterisk.**
3. The budget must be complete and reasonable and must comply with the criteria set forth in “Drug Court Budgets: Allowable and Unallowable Costs” on page 63.
4. Consideration of the reasonableness of a budget will be based, in part, on an examination of the ratio of the number of clients to be served by the drug court to the amount of Federal funds requested.
5. It is imperative that the amount of Federal funds requested in box A under “Estimated Funding” in GMS reflect the total amount of Federal funds over the entire 1-, 2-, or 3-year project period.
6. Similarly, the amount given in box B under “Estimated Funding” in GMS should reflect the entire 25-percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the Federal request and the match amount.
7. Applicants **must** include a line item in the budget either for training, for technical assistance, or for members of the drug court team to visit an operational drug court. The DCPO Tribal Drug Court Training and Technical Assistance Program provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance is

designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs. (See page 87 for more information on the Tribal Drug Court Training and Technical Assistance Program.)

8. Applicants must include detailed requests for data collection and evaluation costs. The amount budgeted should be sufficient to accomplish the data collection and evaluation plans described in the application, including the preparation of research reports. Budgets should distinguish MIS-related from evaluation costs, and internal vs. external staff costs.

Grant recipient's access to second- and third-year funds will be contingent upon DCPO review and approval of the following:

1. Policies and Procedures Manual.
2. Time Task Plan, which has been updated and revised as needed.
3. A strategy that describes the jurisdiction's plan for sustaining the drug court program after Federal financial assistance has ended.

Applicants applying for an **enhancement grant** are required to do the following:

1. Provide a Budget Detail Worksheet (as found on page 67), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple year project, provide the following:
 - a) Complete Budget Detail Worksheet and Budget Narrative for year 1 of the project.
 - b) Complete Budget Detail Worksheet and Budget Narrative for year 2 of the project.
 - c) Year 1 and year 2 Budget Detail Worksheets must be uploaded to the Budget Detail Worksheet as one file. Similarly, year 1 and year 2 Budget Narratives must be uploaded to the Budget Narrative attachment as one file. Only the most current file uploaded as an attachment is saved as part of the application. If you do not assemble and attach year 1 and year 2 as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches year 1 as one file and subsequently attaches year 2 as a separate file, we will only receive year 2. Please note that in order for your application to be considered for funding all year 1 and Budget Detail Worksheets and Budget Narratives must be submitted.
2. Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs with a 25-percent match requirement. As required by statute, a portion of the match must be in cash. The term "portion" is not defined. Please refer to page 93 for more information on this match requirement. **Applicants must note clearly on the Budget Detail Worksheet the budget items that represent local match. For example, the individual items that represent local match may be indicated with an asterisk.**
3. The budget must be complete and reasonable and must comply with the criteria set forth in "Drug Court Budgets: Allowable and Unallowable Costs" on page 63.

4. It is imperative that the amount of Federal funds requested in box A under “Estimated Funding” in GMS reflect the total amount of Federal funds over the entire 1- or 2-year project period.
5. Similarly, the amount given in box B under “Estimated Funding” in GMS should reflect the entire 25-percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the Federal request and the match amount.
6. Applicants must include detailed requests for data collection and evaluation costs. The amount budgeted should be sufficient to accomplish the data collection and evaluation plans described in the application, including the preparation of research reports. Budgets should distinguish MIS-related from evaluation costs, and internal vs. external staff costs.

A. Drug Court Budgets: Allowable and Unallowable Costs

ALLOWABLE COSTS

A. Personnel

Only personnel who work directly for the grantee should be included in this section. All other personnel should appear under the Consultants/Contracts category. (For example, if the court is the grantee, the drug court coordinator should be included in personnel, but the counselors for the treatment provider should be included in the contracts section.)

Generally, the following personnel are only paid with Federal funds when appropriate justification is provided:

- Judge.
- Prosecutor.
- Defense attorney.

Federal funds may be requested ONLY to support new positions dedicated to the drug court and generally include

- Case managers.
- Drug court coordinators.
- Administrative support.
- Counselors.
- Probation officers.

Personnel information in this section must include each employee's annual salary, either percent of time on the project or Full-Time Equivalent (FTE) (1 FTE = 100 percent), and the duration of the grant period.

Example

Name/Position	Computation	Cost
Jane Doe, Case Manager	100% time x \$20,000 annual salary x 1 year	\$20,000

B. Fringe Benefits

Fringe benefit costs should be provided for all allowable personnel listed in section A. The total percent of the fringe benefit rate must be shown, along with the breakdown of that percent.

Example

Name/Position	Computation	Cost
Jane Doe, Case Manager	27.85% fringe benefit rate x \$20,000 annual salary x 1 year	\$5,570

(Fringe Benefit Rate: FICA=6.2%; Medicare=1.45%; Unemployment=0.2%; Health Insurance=20%; Total=27.85%)

C. Travel

Planning grant applicants must include travel to three workshops for up to eight members of the tribal drug court team. Because the DCPO-sponsored workshops for 2001 have not been scheduled, please follow the example listed below for your budget submission.

We encourage using DCPO funds for the team to travel to other drug courts, even if your drug court has been operational for a few years. Learning through direct observation and through practitioner to practitioner dialogue is critical in the drug court field. Please remember, all travel must be preapproved by the program manager.

In addition, we encourage grant recipients to use DCPO funds to send a team to attend the annual drug court conference sponsored by the National Association of Drug Court Professionals. This is an excellent opportunity to learn new techniques and network with other drug court practitioners, but is not a required workshop.

Grant recipients must follow their local travel regulations. If the grantee does not have local travel regulations, itemized on the Budget Detail Worksheet, Federal regulations would apply.

Funds in this category must be broken out. When locations of workshops and/or conferences are not known, applicants are asked to estimate travel costs. We recommend that applicants budget up to \$1,000 per person to attend each conference.

Example

Purpose of Travel	Location	Item	Computation	Cost
Training Workshop	Unknown	Airfare	\$600 x 8 people	\$4,800
		Hotel	\$100/night x 8 people x 3 nights	\$2,400
		Meals	\$40/day x 8 people x 4 days	\$1,280
		Ground transportation	\$20 x 8 people	\$160

D. Equipment

Only nonexpendable items should be listed in this category (expendable items should be listed under Supplies or Other Costs).

Federal funds may be used to purchase equipment when current equipment either does not exist or is unable to perform the necessary tasks required in drug court operations. Prior to requesting funds for equipment, applicants should confirm that there is a need and not just a desire for the newest technology and that equipment will be used by drug court personnel only.

Equipment must be used 100 percent of the time for drug court purposes.

It is sometimes difficult to break down equipment costs, but they should be itemized to the extent possible.

Example

Item	Computation	Cost
486 Computer w/ CD-ROM	\$1,800 each	\$1,800

E. Supplies

It is important to distinguish between supplies and equipment—the general rule of thumb is that supplies are expendable. Examples of expendable supplies include office supplies and drug tests.

Example

Supply Item	Computation	Cost
Instant Urine Drug Test Kits	\$330/box x 3 boxes per year x 1 year	\$990
Office Supplies (pens, copy paper, staples, tape, print cartridges, desk calendars, binders)	\$200/month x 12 months	\$2,400

F. Construction

Construction is not an allowable expenditure. Minor repairs or renovations may be allowable. The DCPO director must approve all renovations.

G. Consultants/Contracts

Generally, this category includes costs for treatment, collateral services, and evaluation activities.

Consultant fees in excess of \$450 per day require additional justification and approval by the Drug Courts Program Office.

The grantee should always follow local guidelines for sole source procurement. Contracts of more than \$100,000 (regardless of whether it is Federal or match funds) require a sole source justification.

Example

Name of Consultant	Service Provided	Computation	Cost
Public Health Lab	Urine screens	\$5/each x 12 months x 100 screens/month	\$6,000

H. Other Costs

This category may include rent, telephone costs, and anything else that is not classified as supplies or equipment. These costs must be new and directly related to the drug court program.

Example

Description	Computation	Cost
Telephone Service	\$260/month x 12 months	\$3,120
Technical Assistance	\$1,000 x 1 year	\$1,000

I. Indirect Costs

The grantee must have an approved Federal indirect cost rate. The indirect cost rate is issued by the grantee's cognizant agency; if OJP is the cognizant agency, the Office of the Comptroller will negotiate an indirect cost rate with the grantee. Local units of government that do not have a federally approved rate may apply an agency-established indirect cost rate. The governmental unit must, upon request, make available for review documentation supporting the rate.

J. Budget Summary

The Federal, match, and total amount must be shown for each category.

IMPORTANT: Check all calculations and totals before sending the budget to the Office of the Comptroller.

Example

Category	Federal	Local	Total
A. Personnel			
B. Fringe Benefits			
C. Travel			
D. Equipment			
E. Supplies			
F. Construction			
G. Consultants/Contracts			
H. Other			
Total Direct Costs			
I. Indirect Costs			
TOTAL PROJECT COSTS			
Federal Request			
Non-Federal Amount			

UNALLOWABLE COSTS

The DCPO director makes all final determinations regarding what the grant will or will not fund. Generally, the following are unallowable:

- Salaries of the judge, prosecutor, and defense attorney.
- Firearms.
- Food.
- Grant writing expenses.
- Drug dogs.
- Law enforcement equipment (body armor, handcuffs, billy clubs, pepper spray).
- Electronic monitoring.

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel: List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
---------------	-------------	------

TOTAL _____

B. Fringe Benefits: Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
---------------	-------------	------

TOTAL _____

Total Personnel & Fringe Benefits _____

C. Travel: Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., 6 people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
-------------------	----------	------	-------------	------

TOTAL _____

D. Equipment: List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
------	-------------	------

TOTAL _____

Supply Items	Computation	Cost
		TOTAL _____

G. Consultants/Contracts: Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
--------------------	------------------	-------------	------

Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
------	----------	-------------	------

Subtotal _____

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
------	------

Subtotal _____

TOTAL _____

H. Other Costs: List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
-------------	-------------	------

TOTAL _____

I. Indirect Costs: Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
-------------	-------------	------

TOTAL _____

Budget Summary: When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	_____
TOTAL PROJECT COSTS	_____

Federal Request _____

Non-Federal Amount _____

4. Assurances

The next step in the application process is the Assurances.

Type the name, address, phone number, fax number, and e-mail address (if applicable) of the authorizing official on the Assurances (OJP Form 4000/3) and Certifications (OJP Form 4061/6) on the Assurance screen. The authorizing official must review the Assurances and Certifications forms in their entirety. Copies of these forms follow on pages 74–76. The authorizing official does not need to submit signed hard copies of these forms to DCPO.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

5. Letters of Support and Authorization Letters

If you are required to submit either a Letter of Support or an Authorization Letter as part of your application for funding, it must be submitted via fax. These items must be faxed to 202-354-4147 by 11:59 p.m. e.t. February 26, 2001. Be sure to include the application number that is assigned by GMS (i.e., 2001-Z001-MD-DC) on all faxed documents for identification purposes.

Letters of Support

Planning grant applicants are required to submit a letter of support from each of the six key drug court team members: judge, prosecutor, defense advocate, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator. If applying for a planning grant for a juvenile drug court, the team also must include a school representative. Subsequent letters of support will be accepted from tribal council members and tribal elders. If a treatment provider has not been selected, a letter from the director of the regional Indian Health Services office or the State or county alcohol and drug abuse office is needed. All letters of support should be written by the individual who signs it and should include the following information:

1. An expression of support for the project.
2. Willingness to participate in development of the project.
3. Expected role and responsibilities in the planning process.
4. Expected responsibilities and resources when the tribal drug court is operational.
5. Approximate percentage of time that will be devoted to the planning of the tribal drug court.
6. A willingness to participate in three required DCPO-sponsored workshops.

Implementation grant applicants are required to submit a letter of support from each of the key drug court team members: judge, prosecutor, defense advocate, treatment provider, researcher/evaluator/management information specialist, drug court coordinator, and a school representative (if you are applying for a juvenile drug court). All letters of support should be written by the individual who signs it and should include the following information:

1. An expression of support for the project.
2. Willingness to participate in development of the project.
3. Current role and responsibilities in the planning process.
4. Expected responsibilities and resources when the drug court is operational.
5. Approximate percentage of time that will be devoted to both the planning and operation of the drug court.

Enhancement grant applicants are required to submit a letter of support from each of the key drug court team members: judge, prosecutor, defense advocate, treatment provider, researcher/evaluator/management information specialist, drug court coordinator, and a school representative (if you are applying for a juvenile drug court enhancement). All letters of support should be written by the individual who signs it and should include the following information:

1. Current role and responsibilities in the drug court.
2. An expression of support for the project.
3. A statement as to why the enhancement is needed.
4. Current resources from agency/organization that are devoted to the drug court.
5. Approximate percentage of time that is devoted to the operation of the drug court.

Authorization Letters

For the purposes of this application kit, eligible applicants are States, State courts, local courts, counties, other units of local government, and Indian tribal governments, acting directly or through agreement with other public or private entities. Definitions of eligible applicants are provided on page 91. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants.

For an application from a **subunit of government** (e.g., county probation department, district attorney's office, pretrial services agency) to be considered, it must be authorized as representing an eligible applicant (described above). For example, the county executive may designate the county probation or county district attorney's office as its representative for the purpose of application. A model authorization letter can be found on page 79.

Sample Authorization Letter

Marilyn Roberts
Director
Drug Courts Program Office
810 Seventh Street NW.
Eighth Floor
Washington, DC 20531

[current date]

RE: [drug court grant number, name of grant, and type of grant]

Dear Ms. Roberts:

As the [Chief Executive Officer or similar authority] for the [State or unit of local government], on behalf of [State or unit of local government], I hereby authorize [name of agency administering the grant] as the official representative of [State or unit of local government] authorized to apply to undertake a drug court program or project in whole or in part. This designation is made pursuant to the authority conferred upon me by Section 901 © of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC § 3791(c), and it is effective as of [date of original application].

Any additional correspondence concerning this drug court grant should be directed to [the agency administering the grant]. The appropriate contact person at that agency is [contact at agency administering the grant], who can be reached at [phone number].

Sincerely,

[name and title]

6. Policy and Procedures Manual

Enhancement grant applicants must provide a copy of the Policy and Procedures Manual, postmarked by February 15, 2001, to the Drug Courts Program Office, 810 Seventh Street NW., Washington, DC 20531. The application number must appear on the manual. If you have previously submitted a Policy and Procedures Manual as a grant recipient of the Drug Courts Program Office, you do not need to resubmit, but you must reference this fact on your Applicant Information Page. **Applications without a Policy and Procedures Manual will not be considered for funding.**

GENERAL INFORMATION

Drug Court Training and Technical Assistance Program

The Drug Court Training and Technical Assistance Program has greatly expanded in the past 4 years and builds on the foundation of the previous training and technical programs. Although many courts and treatment providers are interested in the drug court concept, they have little experience with the rethinking and effort required to implement this approach to managing offenders. Additionally, court administrators and judges have difficulty identifying the questions to ask about program impact, as pointed out in the 1997 GAO report on drug courts. It is the philosophy of the DCPO that these issues can best be addressed through training and technical assistance to promote and support best practices in the development, implementation, evaluation, and institutionalization of drug courts. Technical assistance and training will be available to all grant recipients.

Based on the complexity and diversity of the drug court field, DCPO has developed eight initiatives under this program to meet the training and technical assistance needs of drug courts. The following is a brief summary of the initiatives.

I. Drug Court Clearinghouse

The goals of this initiative are to

- A. Assist communities in the development of effective drug court teams, in the engagement of multiple systems, and in the design and development of drug courts that include all of the 10 key components of drug courts.
- B. Collect, analyze, and disseminate information about drug courts that will provide the drug court field with specific resources to strengthen their ability to operate effectively.
- C. Increase communication and sharing of information among drug courts.
- D. Provide comprehensive onsite technical assistance to grant recipients.

For further information contact:

OJP Drug Court Clearinghouse and Technical Assistance Project

The American University
 4400 Brandywine Street NW.
 Washington, DC 20016-8159
 202-885-2875
www.american.edu/justice

II. Adult Drug Court Planning Workshops

The goals of this initiative are to

- A. Assess the training needs of adult drug court personnel and develop training agendas that reflect state-of-the-art knowledge about adult drug courts.
- B. Teach and demonstrate the importance of the key components for adult drug courts.
- C. Strengthen the drug court team's capacity to work together, expand the team membership, foster practitioner-to-practitioner training, and provide maximum networking opportunities.

For further information contact:

National Drug Court Institute
901 North Pitt Street, Suite 370
Alexandria, VA 22314
1-888-909-6324
www.ndci.org

The Justice Management Institute
1900 Grant Street, Suite 630
Denver, CO 80203
303-831-7564
E-mail: JMIDenver@aol.com

III. Mentor Drug Court Network

The goals of this initiative are to

- A. Foster the development of drug courts through the direct observation of existing drug courts and dialogue with drug court practitioners.
- B. Develop a mentor drug court network that coordinates visits to specially selected drug courts and develop training programs at the sites while minimizing the burden on the host drug courts.
- C. Assist communities in the development of effective drug court teams and in the development of an effective operational drug court that follows the 10 key components.

For further information contact:

National Drug Court Institute
901 North Pitt Street, Suite 370
Alexandria, VA 22314
1-888-909-6324
www.ndci.org

IV. Tribal Drug Court Training and Technical Assistance

The goals of this initiative are to

- A. Assess the training needs of tribal drug courts and develop training agendas to assist Native American communities in developing and implementing effective tribal drug court programs that reduce recidivism and improve abstinence.
- B. Develop a training program for trainers and technical assistance providers to serve the Native American community.
- C. Develop curriculums that use specially trained faculty to train Native American teams to plan and implement drug courts that effectively fit into tribal justice systems and Native American communities.
- D. Develop a specialized technical assistance strategy for providing onsite technical assistance to Native American tribes that have attended the specialized drug court training programs.

For further information contact:

National Association of Drug Court Professionals

901 North Pitt Street, Suite 370

Alexandria, VA 22314

1-888-316-2327

www.nadcp.org

Tribal Law and Policy Institute

8235 Santa Monica Boulevard, Suite 205

West Hollywood, CA 90046

323-650-5467

V. Juvenile Drug Court Training and Technical Assistance

The goals of this initiative are to

- A. Assess the training needs of juvenile drug court personnel and develop training agendas to assist communities in developing and implementing effective juvenile drug court programs that reduce recidivism and improve abstinence.
- B. Assist communities in developing effective juvenile drug court teams, engaging multiple systems, and designing and implementing juvenile drug courts.
- C. Develop curriculums that use specially trained faculty to train juvenile drug court teams to plan and implement drug courts.
- D. Develop a training program for trainers and technical assistance providers to serve the juvenile drug court community.

For further information contact:

National Council of Juvenile and Family Court Judges
P.O. Box 8970
Reno, NV 89507
775-784-1663
www.ncjfcj.unr.edu

VI. Evaluation and Management Information System Training and Technical Assistance

The goals of this evaluation and MIS initiative are to

- A. Provide drug court programs with the specific resources to strengthen their capacity to collect the data necessary to effectively monitor and evaluate their drug court program.
- B. Provide the drug court field with a wide range of assistance in the development and execution of both process and impact evaluations.
- C. Provide the drug court field with a wide range of assistance in developing drug court management information systems.
- D. Provide specialized training on the development of drug court management information systems and evaluations.
- E. Develop innovative information sharing techniques for dissemination of information on drug court evaluations and MIS.
- F. Develop a needs assessment for training and technical assistance on MIS and evaluation.

For further information contact:

SEARCH, Inc.
7311 Greenhaven Drive, Suite 145
Sacramento, CA 95831
916-392-2550
www.search.org

The Center for Court Innovation
351 West 54th Street
New York, NY 10019
212-373-8088
www.communityjustice.org

VII. Training and Technical Assistance for Treatment in Drug Courts

The goals of this initiative are to

- A. Develop a list of leading drug treatment experts who have experience in providing treatment within the criminal justice system.
- B. Develop an inventory of drug treatment services offered in drug courts.
- C. Convene a meeting of drug court treatment providers.
- D. Analyze the status of drug treatment in drug courts within the context of nationally recognized standards.
- E. Develop a process for the delivery of technical assistance to drug courts experiencing difficulty in delivering treatment services.
- F. Provide technical assistance to drug courts experiencing difficulty in delivering treatment services.

For further information contact:

National TASC (Treatment Accountability for Safer Communities)

1911 North Fort Myer Drive, Suite 900
Arlington, VA 22209
703-522-7212
natasc@aol.com

VIII. National Drug Court Institute (NDCI)

The Office of National Drug Control Policy has transferred funding to DCPO for this initiative. The components of this initiative are

- A. **Education:** To provide comprehensive skills-based training to drug court practitioners. Areas include
 - 1. Adult and juvenile drug court judges.
 - 2. Adult and juvenile drug court coordinators.
 - 3. Drug court treatment providers.
 - 4. Drug court public defenders.
 - 5. Drug court prosecutors.
- B. **Research:** To support investigative projects aimed at the development of more effective drug court policies and procedures. Areas include
 - 1. Ethics and confidentiality.
 - 2. Drug court systems.
 - 3. Jail-based treatment.

4. Prison-based treatment.
5. Drug court case management standards.
6. Regional research meetings.
7. Standardization projects.

C. **Scholarship:** To disseminate important drug court specific research, evaluations, and commentary. Areas include

1. A semiannual publication designed to keep practitioners and policymakers abreast of new developments in the drug court field.
2. Dissemination of scholastic articles.

For further information contact:

National Drug Court Institute
901 North Pitt Street, Suite 370
Alexandria, VA 22314
1-888-909-6324
www.ndci.org

Definitions

Drug court: A specially designed court calendar or docket, the purposes of which are to achieve a reduction in recidivism and substance abuse among nonviolent substance-abusing offenders and to increase the offenders' likelihood of successful habilitation through early, continuous, and intense judicially supervised treatment, mandatory periodic drug testing, and use of appropriate sanctions and other habilitation services.

Violent offender: A person who either

- A. Is charged with or convicted of an offense during the course of which
 - 1. The person carried, possessed, or used a firearm or other dangerous weapon;
 - 2. There occurred the use of force against the person of another; or
 - 3. There occurred the death of, or serious bodily injury to, any person, without regard to whether any of the circumstances described above is an element of the offense or conduct of which or for which the person is charged or convicted; or
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

Grantee: States, State courts, local courts, counties, other units of local government, or Indian tribal governments acting directly or through agreement with other public or private entities that receive funding under the drug court program.

State: Any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, or the Northern Mariana Islands.

Unit of local government: Any city, county, township, town, borough, parish, fiscal court, village, or other general purpose political subdivision of a State; an Indian tribe that performs law enforcement functions as determined by the Secretary of the Interior; or, for the purpose of assistance eligibility, any agency of the District of Columbia government or the U.S. Government performing law enforcement functions in and for the District of Columbia and the Trust Territory of the Pacific Islands.

Indian tribe: A tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act [43 U.S.C. 1601 et seq.]), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their special status as Indians.

Eligible applicants: For purposes of this application kit, eligible applicants are States, State courts, local courts, counties, and other units of local government and Indian tribal governments acting directly or through agreement with other public or private entities. All applicants must demonstrate

management and financial capabilities to effectively plan and implement projects of the size and scope described in this application kit. Nonprofit and for-profit agencies are not eligible applicants.

If a subunit of government (e.g., county probation department, district attorney's office, or pretrial services agency) wishes to apply, it must be designated by an eligible applicant (described above) as the authorized representative of that applicant for purposes of applying for this grant. For example, the county executive may designate the county probation or county district attorney's office as its representative for the purpose of applying for this grant. A model of a designation letter may be found on page 79.

Program Provisions

The following is for informational purposes only and relates to the programmatic provisions and requirements of the Office of Justice Programs and the Drug Courts Program Office.

A. Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most Federal agencies. This form contains 18 different items, all of which must be completed before your application is reviewed.

B. Assurances

The applicant, by signing the SF 424, assures that it will comply with the requirements contained in the assurances in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

C. Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Lobbying

The applicant and its subgrantees, contractors and subcontractors, will not use Federal funds for lobbying and will disclose any lobbying activities.

Debarment

The applicant and its principals have not been debarred or suspended from Federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

Drug-Free Workplace

The applicant will or will continue to provide a drug-free workplace. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR Part 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

D. Match Requirement

The Federal share of a grant-funded project may not exceed 75 percent of the total project costs. At least 25 percent of the total project costs is a required match and must come from local sources. As required by statute, "cash" contributions must constitute a portion of the non-Federal share of the

grant. "Portion" is not defined in the statute. The remainder of the match may be in-kind. For example, if the request for Federal support is \$200,000, the minimum local match requirement would be \$66,667, making the total project budget \$266,667.

Within each budget category, the applicant must clearly delineate the individual items that are match. For example, individual items that represent local match may be indicated with an asterisk. A portion of the match must be cash. This is required by statute; the term "portion" is not defined.

The following formula may be used to calculate local match:

$$(\text{Federal Request} \div .75) \times .25 = \text{Local Match}$$

E. Single Point of Contact Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact, if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOCs to determine whether their programs have been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in Block 16 on the Application for Federal Assistance (SF 424).

F. Civil Rights Compliance

All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. In the event that a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs. All applicants should consult the Assurances required with the application funds to understand the applicable legal and administrative requirements.

G. Suspension or Termination of Funding

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 U.S.C. 3796ii et seq., and the program guidelines issued thereunder, or other provisions of Federal law.
- Failure to make satisfactory progress toward the goals or strategies set forth in this application.
- Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.

- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Filing a false certification in this application or other report or document.
- Other good cause shown.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in U.S. Department of Justice regulations described in 28 CFR, Part 18.

H. Reporting Requirements

All recipients of grants awarded by the Drug Courts Program Office are required to submit the following reports: Financial Status Reports, Categorical Assistance Progress Reports, and the Drug Court Grantee Data Collection Survey. Additionally, recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organizationwide financial and compliance audit report. Refer to appendix C for more specific information on these reporting requirements.

Application Review and Award Process

Applications submitted in response to this solicitation will be reviewed by a panel of drug court professionals, who will make recommendations to OJP regarding the relative strengths of the applications. Reviewers will consider how well each applicant covers the information requested in this guideline. No appendixes will be reviewed other than those required in the application. The reviewers will consider whether budgets are detailed, reasonable, and directly related to the proposed program. Priority will be given to **innovative** and **comprehensive** programs. Only programs containing the essential elements of treatment drug courts, described on page 7 of this guideline, will be funded. The final award decision is by OJP.

OJP anticipates announcing the awards by August 2001. The announcement will be on the OJP home page (www.ojp.usdoj.gov/dcpo) and is solely an announcement of OJP's intention to fund the application. Award documentation will not be mailed out at that time. OJP will then negotiate specific terms of awards with the selected applicants. Awards will be processed and mailed to the recipients by September 30, 2001. Selected applicants can anticipate a project start date of September 1, 2001.

At the conclusion of the review process, letters will be sent to all applicants notifying them that their proposal has been selected or providing the reasons it was not selected.

Equitable Distribution of Grant Awards

In all cases, the U.S. Department of Justice will attempt to award grants on a geographically equitable basis that will address the needs of smaller jurisdictions as well as large urban centers. Jurisdictions that contain federally designated Empowerment Zones or Enterprise Communities may receive special consideration if they describe how they will target their drug court effort to the designated area.

APPENDIXES

Appendix A

Drug Courts Program Office
Office of Justice Programs
U.S. Department of Justice

FY 2001 APPLICANT WORKSHOPS REGISTRATION FORM

Please accept my registration form to participate in the grant applicant workshops. I plan to attend the workshop in

_____ Washington, D.C., on January 26, 2001. (Registration required by January 10, 2001.)

_____ Albuquerque, New Mexico, on February 2, 2001. (Registration required by January 19, 2001.)

_____ San Francisco, California, on February 5, 2001. (Registration required by January 19, 2001.)

Name: _____

Title: _____

Organization: _____

Address: _____

City: _____ State: _____ ZIP: _____

Phone: _____ Fax: _____ E-mail: _____

Please complete and return this form to

Drug Court Applicant Workshops
NCJRS
2277 Research Boulevard, MS 2B
Rockville, MD 20850
Phone: 301-519-6401
Fax: 301-519-5600

Or e-mail the requested information to
DDunston@aspensys.com

Appendix B

Violent Offender Frequently Asked Questions

Background

Questions are pursuant to the definition of “violent offender” as stated in the statute. The statute defines “violent offender” as a person who either

1. Is charged with or convicted of an offense, during the course of which offense or conduct
 - A. The person carried, possessed, or used a firearm or dangerous weapon;
 - B. There occurred the death of, or serious bodily injury to, any person; or
 - C. There occurred the use of force against the person of another, without regard to whether any of the circumstances described in subparagraph (A), (B), or (C) is an element of the offense or conduct of which or for which the person is charged or convicted; or
2. Has one or more prior convictions for a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm, 42 U.S.C. § 3796ii et seq.

Questions

1. **Is an offender eligible for the drug court program if he or she has *previously* been convicted of a *misdemeanor* offense related to threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon?**

The statute’s definition of violent offender specifically limits prior offenses that cause a person to be categorized as a “violent offender” to felony crimes of violence. If a person has a prior misdemeanor conviction, even though threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon occurred during the offense, the person is not a violent offender according to the statute. Therefore, the offender is eligible for the drug court program as long as his or her current offense does not fall within the violent offender definition.

2. **Is an offender eligible for the drug court program if he or she has a prior *felony arrest* (but not conviction) for an offense related to threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon?**

The statute’s definition of violent offender specifically limits prior offenses that cause a person to be categorized as a “violent offender” to felony *convictions*. Prior felony arrests are not included in this definition. If a person has a prior felony arrest, even though it involved threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon, the person is not a violent offender according to the statute. Therefore, the offender is eligible for the drug court program as long as his or her current offense does not fall within the violent offender definition.

3. Is an offender eligible for the drug court program if a charge that would qualify as a violent offense according to the definition above is dropped or reduced to a nonviolent offense?

If a charge is dropped or reduced to a nonviolent offense, the offender is eligible for the drug court program. Charges that have been dropped cannot be considered when assessing whether an offender falls under the violent offender definition. Reduced charges are subject to the violent offender definition. Therefore, if the reduced charge does not qualify as a violent offense, then the offender is eligible.

4. Is an offender eligible for the drug court program if he or she has a juvenile adjudication for an offense related to threatened or actual use of force or use, possession, or carrying a firearm or dangerous weapon?

The drug courts statute, 42 U.S.C. §§ 3786ii to 3796ii-8 (1994), does not set out different standards for juvenile offenders. Therefore, juvenile violent offenses are governed by the same standards as adult violent offenses.

Consequently, if the juvenile offender is currently charged with or convicted of an offense during the course of which threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon occurred, the juvenile will be categorized as a violent offender and is ineligible for drug court programs. In addition, if the juvenile offender has a prior felony conviction for an offense related to threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon, the juvenile will be categorized as a violent offender and is ineligible for drug court programs.

5. If violent offenders are admitted, inadvertently or otherwise, to the drug court program, is it possible for the OJP grant to be rescinded or canceled?

The statute provides that if the Assistant Attorney General determines that one or more violent offenders are participating in a program receiving funding under this part, such funding shall be promptly suspended, pending the termination of participation by those persons deemed ineligible to participate under the statute 42 U.S.C. § 3796ii et seq.

If it is discovered that violent offenders inadvertently are participating in a drug court program, the federally funded portion of the program will be suspended pending the removal of the violent offenders from the program. If the program fails to remove the violent offenders, funding must be rescinded or canceled, because the statute provides that no violent offenders will be permitted to participate in a federally funded drug court program.

6. Does the degree of violence within an offense affect eligibility?

Under the specific situations set out by the statute, the degree of violence within a qualifying offense is irrelevant. If the offender commits a “violent offense” under the statute, he or she is ineligible to participate in a drug court program.

7. Does the definition of “violent offender” include persons who legally use, possess, or carry a firearm or dangerous weapon?

DCPO interprets the definition of “violent offender” as being restricted to persons who illegally use, possess, or carry a firearm or dangerous weapon. Therefore, offenders are not precluded from participation in a drug court for either

- a) Using a legally licensed firearm or dangerous weapon in a legally justifiable way, such as in circumstances of self-defense
- b) Possessing or carrying an otherwise legally licensed firearm or dangerous weapon.

8. If a drug court client commits a violent crime, as defined by the statute, while in the program, must he or she be removed from the program? Does it matter if the new charge is a misdemeanor or a felony?

Yes, any new violent charge, as defined by the statute, whether a misdemeanor or a felony, prohibits the client from further or continued participation in the DCPO-funded program. If and only if the violent charges are dropped or the client is found not guilty can the client re-enter the program.

NOTE: Violent offenders may be placed into a separate drug court track not funded by OJP/DCPO.

Appendix C

Drug Court Grantee Reporting Requirements

All recipients of Drug Courts Program Office grants are required to submit the following reports:

1. **Financial Status Reports (SF 269A):** Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active, even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund draw-downs will be withheld if financial status reports are delinquent.
2. **Categorical Assistance Progress Reports:** Recipients of funding are required to submit an initial and then semiannual progress report. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package.
3. **Drug Court Grantee Data Collection Survey:** To ensure that grant recipients are collecting critical information about their drug court programs for evaluation purposes and to assist in the national evaluation of drug courts, grant recipients that receive funds to implement or enhance a drug court are required to submit the Drug Court Grantee Data Collection Survey on a semiannual basis. The survey periods run January 1 through June 30 and July 1 through December 31. The surveys are due 60 days after the end of the report period; that is, no later than August 31 and February 28, respectively. These data will capture baseline information on both drug courts and defendants. NOTE: This is not a requirement for planning and enhancement grant recipients.
4. **Single Audit Report:** Recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organizationwide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards. The audit report currently is due to the Federal Audit Clearinghouse no later than 9 months after the end of the recipient's fiscal year. For fiscal years beginning on or after July 1, 1998, the audit report will be due 9 months after the end of the recipient's fiscal year.



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
DRUG COURTS PROGRAM OFFICE
WASHINGTON, D.C. 20531

DRUG COURT GRANTEE DATA COLLECTION SURVEY

DIRECTIONS: As a Drug Courts Program Office discretionary grantee, you are required to complete this survey. This form must be completed on a semiannual basis and submitted with your progress reports due at the end of January and July of each year. Complete Section I and update only as necessary. Update Section II at the end of January and July each year. **If a grant is for multiple jurisdictions, each jurisdiction must complete the survey individually.**

I. BASELINE INFORMATION

A. GENERAL INFORMATION

(A). REPORTING PERIOD MONTHS: January – June Year _____ July – December Year _____	8. TYPE OF DRUG COURT GRANT <input type="checkbox"/> Single Jurisdiction Implementation <input type="checkbox"/> Single Jurisdiction Enhancement <input type="checkbox"/> Multi-Jurisdictional Implementation <input type="checkbox"/> Multi-Jurisdictional Enhancement																								
(B). DRUG COURTS PROGRAM OFFICE GRANT NUMBER _____																									
(C). DATE SURVEY WAS COMPLETED _____	9. GRANT AWARD PERIOD _____ to _____																								
1. GRANTEE NAME (As it appears on Official DCPO Award document)	10. DATE DRUG COURT PROGRAM STARTED																								
2. TITLE (Grantee)	11. DATE STARTED WITH DCPO FUNDING (If different)																								
3. ADDRESS (Grantee)	12. AMOUNT OF GRANT AWARD																								
	13. NAMES AND POSITIONS OF KEY PERSONNEL																								
		4. TELEPHONE (Grantee)																							
5. FAX (Grantee)																									
6. E-MAIL (Grantee)	14. SIZE OF JURISDICTION: (Population of county or city served by court). Indicate the geographic jurisdiction served by the court. <table border="1"> <thead> <tr> <th></th> <th>Yes/No</th> <th>Name of Jurisdiction</th> <th>Population</th> </tr> </thead> <tbody> <tr> <td>State</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Multi-county</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>County</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>City</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Tribe</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>		Yes/No	Name of Jurisdiction	Population	State	_____	_____	_____	Multi-county	_____	_____	_____	County	_____	_____	_____	City	_____	_____	_____	Tribe	_____	_____	_____
		Yes/No	Name of Jurisdiction	Population																					
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County	_____	_____	_____																						
City	_____	_____	_____																						
Tribe	_____	_____	_____																						
7. NAME AND ADDRESS (Of person completing this form). (Please include Title and Telephone, Fax and E-Mail address)																									

B. DRUG COURT INFORMATION

15. TYPE OF DRUG COURT (Check all that apply) <input type="checkbox"/> Adult <input type="checkbox"/> Juvenile <input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor	16. IN GENERAL, WHICH APPROACH DOES THE DRUG COURT FOLLOW? (Check one) <input type="checkbox"/> Deferred Prosecution: Adjudication is deferred and the defendant is diverted to the treatment program after being charged. <input type="checkbox"/> Postadjudication: Adjudication occurs, but the sentence is deferred or pronounced and the defendant enters the treatment program. <input type="checkbox"/> Other (Specify) _____
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<p>17. WHO IS ELIGIBLE TO PARTICIPATE IN THE DRUG COURT PROGRAM? (Check all that apply)</p> <p><input type="checkbox"/> Adult male</p> <p><input type="checkbox"/> Adult female</p> <p><input type="checkbox"/> Juveniles</p> <p><input type="checkbox"/> Nonviolent offenders</p> <p><input type="checkbox"/> Violent offenders (Past or present)</p> <p><input type="checkbox"/> Offenders with substance (i.e. controlled or other addictive substances) addiction</p> <p><input type="checkbox"/> Offenders without substance addiction</p> <p><input type="checkbox"/> First-time offenders</p> <p><input type="checkbox"/> Repeat offenders</p> <p><input type="checkbox"/> Probation violators</p>	<p>21. ARE THE FOLLOWING GRADUATION REQUIREMENTS? (If yes, provide the time period.)</p> <p>Number of months drug free _____</p> <p>Number of months without rearrests _____</p> <p>Number of months employed _____</p> <p>Other (Specify) _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>																																																																		
<p>18. WHAT IS THE LENGTH OF THE PROGRAM?</p> <p>Number of months _____</p> <p><i>If actual average length to graduate is different, indicate (number of months)</i></p> <p>_____</p>	<p>22. SINCE THE PROGRAM BEGAN, WHAT IS THE TOTAL AMOUNT OF FUNDING FOR EACH OF THE FOLLOWING TYPES THAT THE PROGRAM HAS RECEIVED? (Check all sources that apply after amount of funding.)</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;"></th> <th style="width: 15%; text-align: center;">Amount Received</th> <th style="width: 15%; text-align: center;">Year(s) Received</th> </tr> </thead> <tbody> <tr> <td colspan="3">a. FEDERAL GOVERNMENT</td> </tr> <tr> <td><input type="checkbox"/> Violent Crime Control Act of 1997 (Drug Courts Program Office)</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Local Law Enforcement Block Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Edward Byrne Memorial Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Comprehensive Communities Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Corrections Options Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> CSAT Criminal Justice Treatment Networks</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> CSAT Target Cities</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Medicaid</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Other federal government (Please specify)</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>b. <input type="checkbox"/> State government</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>c. <input type="checkbox"/> Local government</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>d. <input type="checkbox"/> Private (Grants/donations from foundations, businesses, charitable organizations) Please list sources</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>e. <input type="checkbox"/> Participant fees actually collected</td> <td>\$ _____</td> <td>_____</td> </tr> </tbody> </table>		Amount Received	Year(s) Received	a. FEDERAL GOVERNMENT			<input type="checkbox"/> Violent Crime Control Act of 1997 (Drug Courts Program Office)	\$ _____	_____	<input type="checkbox"/> Local Law Enforcement Block Grant	\$ _____	_____	<input type="checkbox"/> Edward Byrne Memorial Grant	\$ _____	_____	<input type="checkbox"/> Comprehensive Communities Grant	\$ _____	_____	<input type="checkbox"/> Corrections Options Grant	\$ _____	_____	<input type="checkbox"/> Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance	\$ _____	_____	<input type="checkbox"/> CSAT Criminal Justice Treatment Networks	\$ _____	_____	<input type="checkbox"/> CSAT Target Cities	\$ _____	_____	<input type="checkbox"/> Medicaid	\$ _____	_____	<input type="checkbox"/> Other federal government (Please specify)	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	b. <input type="checkbox"/> State government	\$ _____	_____	c. <input type="checkbox"/> Local government	\$ _____	_____	d. <input type="checkbox"/> Private (Grants/donations from foundations, businesses, charitable organizations) Please list sources	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	e. <input type="checkbox"/> Participant fees actually collected	\$ _____	_____
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<p>19. DOES THE DRUG COURT HAVE PHASES? (If yes, list them and give the length of each phase.)</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%; text-align: left;">Phase</th> <th style="width: 70%; text-align: left;">How Long</th> </tr> </thead> <tbody> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> </tbody> </table>	Phase	How Long	_____	_____	_____	_____	_____	_____	_____	_____	<p>23. WHICH OF THE FOLLOWING STATEMENTS BEST DESCRIBES ANY FEES CHARGED TO PARTICIPANTS (By the court or by any contractors providing services), EITHER CURRENTLY OR IN THE PAST?</p> <p><input type="checkbox"/> Participant fees are charged currently. (Continue with Question 24)</p> <p><input type="checkbox"/> Participant fees were charged previously, but are not currently. (Continue with Question 24)</p> <p><input type="checkbox"/> Participant fees have never been charged. (Skip to Question 25)</p>																																																								
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<p>24. WHAT IS/WAS THE PURPOSE AND AMOUNT OF EACH FEE CHARGED TO PARTICIPANTS?</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 40%; text-align: left;">Description/purpose of fee</th> <th style="width: 20%; text-align: left;">Amount of fee</th> <th style="width: 40%;"></th> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> </table>	Description/purpose of fee	Amount of fee		_____	\$ _____		_____	\$ _____		_____	\$ _____		_____	\$ _____		<p>25. HOW IS DRUG COURT DATA GATHERED AND COMPILED?</p> <p style="text-align: right;"> <input type="checkbox"/> Manually <input type="checkbox"/> Automated <input type="checkbox"/> Both </p>
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II. DRUG COURT PARTICIPANT/PROGRAM INFORMATION																																			
<p>26. NUMBER OF PARTICIPANTS:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>	<p>29. FROM THE TIME THE PROGRAM BECAME OPERATIONAL TO THE PRESENT, FROM THE BEGINNING OF THE GRANT TO THE PRESENT, AND FOR THE CURRENT REPORTING PERIOD (If different) HOW MANY PEOPLE:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 60%;"></th> <th style="width: 10%; text-align: center;">Since program start</th> <th style="width: 10%; text-align: center;">Since grant start</th> <th style="width: 20%; text-align: center;">For current reporting period</th> </tr> <tr> <td>a. Have been admitted to the drug court program?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>b. Have completed the program?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>c. Have failed to complete the program because they:</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> (1.) Have been terminated?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> (2.) Have voluntarily withdrawn?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> (3.) Have died while in the program?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>d. Are currently enrolled?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>				Since program start	Since grant start	For current reporting period	a. Have been admitted to the drug court program?	_____	_____	_____	b. Have completed the program?	_____	_____	_____	c. Have failed to complete the program because they:	_____	_____	_____	(1.) Have been terminated?	_____	_____	_____	(2.) Have voluntarily withdrawn?	_____	_____	_____	(3.) Have died while in the program?	_____	_____	_____	d. Are currently enrolled?	_____	_____	_____
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<p>27. TOTAL CAPACITY:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>																																			
<p>28. NUMBER OF GRADUATES FROM THE DRUG COURT PROGRAM:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>																																			

<p>30. PROVIDE THE FOLLOWING DEMOGRAPHIC INFORMATION ABOUT PARTICIPANTS IN THE PROGRAM SINCE THE BEGINNING OF THE GRANT, SINCE THE BEGINNING OF THE PROGRAM, AND FOR THE CURRENT REPORTING PERIOD (If different).</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 40%;"></th> <th colspan="3" style="text-align: center;">Number of persons:</th> </tr> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr><td>Age 12–16</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Age 17–18</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Age 19–21</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Age 22–30</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Age 31–40</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Age 41 or over</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Number of males</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Number of females</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Number of drug-free babies born to participants</td><td>_____</td><td>_____</td><td>_____</td></tr> </table>		Number of persons:				Since program start	Since grant start	For current reporting period	Age 12–16	_____	_____	_____	Age 17–18	_____	_____	_____	Age 19–21	_____	_____	_____	Age 22–30	_____	_____	_____	Age 31–40	_____	_____	_____	Age 41 or over	_____	_____	_____	Number of males	_____	_____	_____	Number of females	_____	_____	_____	Number of drug-free babies born to participants	_____	_____	_____	<p>31. PROVIDE THE NUMBER OF PARTICIPANTS OF THE FOLLOWING RACIAL OR ETHNIC DESCENT:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 40%;"></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr><td>African American</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Hispanic/Latino</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Asian/Pacific Islander</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Native American</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Alaskan Native</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Caucasian</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>Other</td><td>_____</td><td>_____</td><td>_____</td></tr> </table>		Since program start	Since grant start	For current reporting period	African American	_____	_____	_____	Hispanic/Latino	_____	_____	_____	Asian/Pacific Islander	_____	_____	_____	Native American	_____	_____	_____	Alaskan Native	_____	_____	_____	Caucasian	_____	_____	_____	Other	_____	_____	_____
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<p>32. HOW LONG DO YOU PLAN TO FOLLOW UP ON THE PROGRESS OF DRUG COURT PARTICIPANTS AFTER GRADUATION?</p> <p style="text-align: center;"> 6 months <input type="checkbox"/> 18 months <input type="checkbox"/> 12 months <input type="checkbox"/> Other _____ </p>	<p>38. NUMBER OF PARTICIPANTS ARRESTED OR CONVICTED AFTER GRADUATION:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">0-6 months after graduation:</th> <th></th> <th></th> </tr> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td> Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">7-12 months after graduation:</th> <th></th> <th></th> </tr> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td> Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">13-18 months after graduation:</th> <th></th> <th></th> </tr> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td> Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>		0-6 months after graduation:				Since program start	Since grant start	For current reporting period	Drug offense	_____	_____	_____	Other nonviolent	_____	_____	_____	Violent offense	_____	_____	_____	Traffic offense:				Driving while under the influence	_____	_____	_____	Other (please describe)	_____	_____	_____		7-12 months after graduation:				Since program start	Since grant start	For current reporting period	Drug offense	_____	_____	_____	Other nonviolent	_____	_____	_____	Violent offense	_____	_____	_____	Traffic offense:				Driving while under the influence	_____	_____	_____	Other (please describe)	_____	_____	_____		13-18 months after graduation:				Since program start	Since grant start	For current reporting period	Drug offense	_____	_____	_____	Other nonviolent	_____	_____	_____	Violent offense	_____	_____	_____	Traffic offense:				Driving while under the influence	_____	_____	_____	Other (please describe)	_____	_____	_____
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<p>33. NUMBER OF PROGRAM PARTICIPANTS WHO GAINED A GED OR VOCATIONAL TRAINING CREDENTIAL WHILE IN THE PROGRAM:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>	<p>39. NUMBER OF PARTICIPANTS WHO REMAIN DRUG FREE AFTER GRADUATION (If information is available):</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">Number of participants</th> <th style="text-align: center;">Point in time (days/months) after graduation during which data is collected</th> </tr> <tr> <td>From the start of the program</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>From the start of the grant</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>For current reporting period</td> <td>_____</td> <td>_____</td> </tr> </table>		Number of participants	Point in time (days/months) after graduation during which data is collected	From the start of the program	_____	_____	From the start of the grant	_____	_____	For current reporting period	_____	_____																																																																																				
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<p>34. NUMBER OF PROGRAM PARTICIPANTS EMPLOYED AT GRADUATION:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">Part-time (under 30 hrs/wk)</th> <th style="text-align: center;">Full-time (30+hrs/wk)</th> </tr> <tr> <td>From the start of the program</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>From the start of the grant</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>For current reporting period</td> <td>_____</td> <td>_____</td> </tr> </table>		Part-time (under 30 hrs/wk)	Full-time (30+hrs/wk)	From the start of the program	_____	_____	From the start of the grant	_____	_____	For current reporting period	_____	_____	<p>36. NUMBER OF PARTICIPANTS ARRESTED OR CONVICTED WHILE IN THE DRUG COURT PROGRAM:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td> Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>		Since program start	Since grant start	For current reporting period	Drug offense	_____	_____	_____	Other nonviolent	_____	_____	_____	Violent offense	_____	_____	_____	Traffic offense:				Driving while under the influence	_____	_____	_____	Other (please describe)	_____	_____	_____																																																								
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<p>35. NUMBER OF PERSONS FOR WHOM BENCH WARRANTS WERE ISSUED, WHO HAVE NOT BEEN PICKED UP, AND HAVE BEEN IN BENCH WARRANT STATUS FOR OVER 60 DAYS.</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>	<p>37. NUMBER OF CLIENTS WHO REENTERED THE DRUG COURT PROGRAM, AFTER COURT/SELF TERMINATION OR GRADUATION:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>																																																																																																
<p>Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Drug Courts Program Office, Office of Justice Programs, U.S. Department of Justice, 810 7th Street, NW, Washington, D.C. 20531; and to Public Use Reports Project, 1121-0190, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.</p>																																																																																																	

Appendix D

Process Evaluations and Management Information Systems

Recipients of implementation grants are required to conduct a process evaluation of their drug court program. The process evaluation should be designed to assess the program's effectiveness in meeting its operational and administrative goals. Ideally, process evaluations should be conducted by an independent researcher, working in close collaboration with drug court program staff.

Process evaluations should document not only the history of program development and implementation, but also the specific elements of the program. A process evaluation supplements good internal management and monitoring, providing an independent and objective appraisal of operational performance. A good process evaluation will target problematic program areas and provide recommendations for improvement. Ideally, the following information should be collected and analyzed as part of a process evaluation.

Target population: What is the drug court's target population? To what extent is that population being reached, as evidenced by relevant characteristics of the drug court participants (e.g., current charge, prior record, nature and severity of substance abuse problem, race, age, and gender)? How do drug court participants compare to defendants not in drug court with respect to these characteristics?

Screening and assessment: What are the intake and assessment procedures? What screening and assessment instruments are used to identify offenders who are appropriate for the drug court program (e.g., Addiction Severity Index, Michigan Alcoholism Screening Test)? During each 6-month period of operation, how many offenders are deemed paper-eligible for the program? What are their characteristics? How many offenders undergo formal screening for the drug court program? What are their characteristics? How many offenders are accepted into the drug court program? How many are accepted but decline to participate? How many are rejected by the prosecutor? By the public defender? By the drug court judge? By the treatment provider? What are the characteristics of offenders who decline to participate, and who refuse?

Case processing: What point in the criminal justice process does the program intervene (e.g., pretrial, postconviction)?

Program length: How long is the program? Is it possible to complete early? What is the average length of stay in the program? What percentages of clients remain in the program for 1 month? For 3 months? For 6 months? 9? 12? Graduate? (Each of these percentages should be calculated only for those clients who had the opportunity to be in the program for that length of time.) What are the characteristics of clients in each of these categories?

Urinalysis testing: Who conducts urinalysis testing? How frequently are participants tested for specific types of drugs? Is the drug testing done randomly? Are drug tests observed? What percentages of *all drug tests* are positive for any drug? For marijuana? Cocaine? Heroin? Methamphetamine?

Other? What percentage of *clients* has at least one positive urine test? What percentages of clients test positive for marijuana? Cocaine? Heroin? Methamphetamine? Other? Specify the time period used for this calculation. Is testing for alcohol conducted on a routine basis? If so, what percentage of clients tests positive for alcohol?

Treatment resources: What treatment services are provided? Who provides the treatment? What specific treatment modalities are used? To what extent, and under what circumstances, does the drug court use residential treatment services? Are there any other service interventions provided (e.g., therapeutic community type, initial detoxification phase)? Are culture or gender specific groups used? Is aftercare provided? What does it consist of? How many units of each type of service are received by the clients? Compare by phase of treatment, and specify the time period used.

Ancillary services: What ancillary services are provided? Who coordinates the referral of services? How many referrals are made for each type of ancillary service. What percentage of clients actually received each type of service? Compare by phase of treatment, and specify the time period used.

Sanctions and incentives: What behavior is sanctioned in the program? What sanctions are used? What behavior is rewarded in the program? What incentives are used? Are sanctions and incentives applied uniformly? Specify the percentages of clients receiving each type of sanction and incentive. What is the average number of each type of sanction and incentive received for each client? Specify time period used in these calculations.

Judicial supervision: How often do defendants appear before the judge? What team members are involved in the status hearings? Are staffings held prior to court? What information is routinely available to the judges and other team members? In what format? What is the average number of status hearings held for each client in the first 3 months of the enrollment? First 6 months? First year? Per month of time in the program?

Expulsion: What are the expulsion criteria? What happens to defendants that fail the program?

Graduation: How does a defendant graduate from the program? Are charges dismissed upon graduation?

Drug court team and program coordination: Who makes up the drug court team? What are the roles and responsibilities of the team members (e.g., judge, prosecutor, defense attorney, treatment provider) in the drug court? What other agencies are linked to or involved with the drug court (e.g., pretrial services, probation, community mental health)? Who is in charge of coordinating all the agencies? How often does the team meet and what is discussed?

Retention in program: To what extent is the drug court successful in retaining participants in the program (and in treatment), as evidenced by the number of persons (a) accepted into the program; (b) graduated; (c) currently active (and length of time in program); and (d) terminated? Are reasons for termination consistent? What are the characteristics (demographics, type of drug problem, charge, prior criminal record, social indicators, health) of clients who graduate from the

program? Who are terminated? Who remain at least 6 months? Who remain at least 1 year? If possible calculate 6-month and 1-year program retention rates including only those clients who were admitted to the program at least 6 months prior to the calculation of retention and 1 year prior, respectively.

Impact on criminal behavior: To what extent have program participants been arrested on new charges while they are active in the program? When participants have been arrested, what are the types of charges (e.g., drug possession, traffic infraction, violent offense)? To what extent have drug court participants remained arrest-free after their admission to the program? What percentage of all clients is rearrested during their time in the drug court program? What percentage of graduates? Of those terminated? What are the characteristics of clients who are rearrested during the program, compared to those who are not rearrested?

Impact on substance abusing behavior: Who conducts urinalysis testing? How frequently are participants tested for specific types of drugs? Is the drug testing done randomly? Are drug tests observed? What percentages of *all drug tests* are positive for any drug? For marijuana? Cocaine? Heroin? Methamphetamine? Other? What percentage of *clients* has at least one positive urine test? What percentages of clients test positive for marijuana? Cocaine? Heroin? Methamphetamine? Other? Specify the time period used for this calculation. Is testing for alcohol conducted on a routine basis? If so, what percentage of clients test positive for alcohol?

Impact on participants' life circumstances: To what extent has the program succeeded in enhancing participants' capacity to function in the community? Enhancing their educational levels? Job skills? Actual employment? Physical health? To what extent have program participants been able to be reunited with families from whom they had been separated because of their drug problems? How many drug-free babies have been born to program participants? What percentages of clients are employed after 6 months in the program? After 12 months? Upon graduation? What percentage is in school or in a training program?

Implementation: Were all program components implemented as intended? If not, why? Have any changes been made to the program from the initial design? Is the program reaching the goals and objectives set forth initially? Have new goals and objectives been added? Are there areas of the program that appear problematic? Do team members have concerns about the program? What are some recommendations to improve problematic areas?

Additional Questions for Juvenile Drug Court Process Evaluations

School attendance and performance: What is the nature of the relationship between the juvenile drug court and the local schools? What types of information are provided by the schools to the drug court regarding school attendance, performance, and problems? Are participants engaged in any special school-based programs such as afterschool programs, etc.? What percentages of clients are enrolled in mainstream schools? In alternative schools? What are the average attendance rates for participants?

Family involvement: What involvement in the drug court is required of the juvenile's family? For what percentage of status hearings is a family member present in court?

Additional Questions for Outcome Evaluation

Recidivism: What percentage of drug court graduates is rearrested 1 year after program completion? What percentage of program failures? What percentage of all participants admitted to the drug court? *[NOTE: Include only those participants who have had at least 1 year from graduation or termination.]* For what types of charges? What are the characteristics (demographics, type of drug problem, charge, prior criminal record, social indicators, health) of those rearrested versus not rearrested?

What percentage of drug court graduates receives a technical violation of probation 1 year after program completion? What percentage of program failures? What percentage of all participants admitted to the drug court? *[NOTE: Include only those participants who have had at least 1 year from graduation or termination.]* For what types of technical violations? What are the characteristics (demographics, type of drug problem, charge, prior criminal record, social indicators, health) of those receiving violations versus those who do not? What percentage of graduates, dropouts, all participants are reconvicted for a criminal offense 1 year after the program? What is the total number of jail days served during 1 year after the program by graduates, dropouts, all participants?

To answer these types of questions, drug courts must maintain or have ready access to a considerable amount of information about individuals *and* must be able to aggregate relevant data in appropriate categories at reasonably frequent intervals. The information needed for monitoring and evaluation purposes should be obtainable from the records used in the program's day-to-day operations, including records of screening activities, assessments, drug court dockets, treatment progress reports, drug test results, and criminal history "rap sheets." Optimally, program managers should be able to review reports that aggregate and present this type of information in easy-to-read report formats at least once a month. They should also be able to generate ad hoc reports that provide relevant information on all of the topics listed above and many others as well.

Management Information Systems To Aid in the Collection of Evaluation Data

Applicants are strongly encouraged to design, implement, and maintain an automated data collection system for use in collecting program implementation data, process information, and baseline data that can be used to chart the progress and impact of the funded program. The application should detail specific data elements to be included in the automated data collection system and outline procedures to collect this information, including specific budgetary and personnel information. Following is a list of the minimum types of information that drug court information systems should routinely collect.

- Number of persons found eligible for the program.
- Number of persons admitted to the program.
- Number of eligible persons who were not admitted to the program. (Note: if at all possible, the reasons for nonadmission should be obtained and demographic, case, and criminal history information should be collected for these persons for comparison purposes.)
- Characteristics of persons admitted to the program.
- Date of arrest.
- Date of admission to the drug court program.
- Age.
- Sex.
- Race/Ethnicity.
- Family status.
- Employment status.
- Educational level.
- Current charge(s).
- Criminal history.
- Drug use history.
- Alcohol and other drug treatment history.
- Mental health treatment history.
- Medical needs (including detoxification).
- Nature and severity of substance abuse problem.
- Treatment recommendations (from initial assessment and any followup assessments) and record of treatment regimen followed by each participant.
- Number of participants currently active in the program, with appropriate categorization to reflect the number of persons in specific program phases, duration of time in program, principal types of treatment being provided, etc.
- Number and characteristics of persons who successfully complete the program.
- Number and characteristics of persons who have been terminated from the program, reasons for termination, and length of time in the program before termination.
- Criminal justice sanctions imposed on noncompleters.
- Number of participants who fail to appear at drug court hearings, and number of bench warrants issued for participants by stage of participation in the program.
- Number of rearrests during involvement in the drug court program and for a period of at least 1 year thereafter, and the types of arrests (e.g., drug possession, other nonviolent offense, violent offense).
- Fees, fines, costs, and restitution paid by each participant.

- Community service hours completed by each participant.
- Drug test histories of each participant while in the drug court program.
- Record of attendance and treatment progress for each participant.
- Record of program sanctions imposed on each participant in response to a positive drug test or other evidence of noncompliance with program requirements.
- Principal accomplishments of each participant while in the drug court program (e.g., advancement to new phase, attainment of GED or other educational objective, employment, family reunification, birth of drug-free baby).
- Costs of drug court operations, and the source(s) of funding for each operational component.

For further information please refer to the OJP publication, *Drug Court Monitoring, Evaluation, and Management Information Systems*. The report is available by visiting the DCPO Web site at www.ojp.usdoj.gov/dcpo or by calling the National Criminal Justice Reference Service at 1-800-851-3420 (refer to publication number NCJ 171138).

Appendix E

Comprehensive Care Continuum

A comprehensive treatment continuum is described below. Most, if not all, of these components are appropriate for members of every target population. However, not all services and interventions are needed by every individual in treatment or recovery.

This continuum is not specific to treatment philosophy, modality, or setting. It is a generic framework within which applicants can conceptualize a comprehensive service delivery plan.

Methods of implementing the components of this continuum, the staff who deliver each service, the manner and setting in which different services are delivered, and so on should be based on (1) the unique needs of the target population; (2) the extent to which there are addiction treatment, health care, human services, housing, and labor training alternatives elsewhere in the jurisdiction [of authority]; and (3) the extent of available resources. The array of services described below need not be provided by a single treatment entity but can be provided by a consortium of addiction treatment providers, health and human services providers, and criminal justice supervision agencies linked via coordinated case management.

An effective service delivery plan must include the following components.

Program Management, Structure, and Staff

- Clear program vision, philosophy, and mission statements, coupled with a strategic plan for achieving identifiable objectives (e.g., increase the number of clients who complete treatment to 80 percent; reduce rearrest rates for all program participants who complete treatment by 60 percent).
- Ability to conduct comprehensive assessments at intake, track client progress via documented case-finding methods and evaluation tools, maintain process-tracking capabilities, and conduct outcome evaluations (during and after treatment) for all program participants.
- Multidisciplinary staff capable of ensuring that programming is delivered in a clinically appropriate and culturally competent manner.
- Staff training and cross-training capability covering issues pertinent to effective treatment, including cross training of administrative, security, and treatment staff; gender sensitivity (sexuality, abuse); age-specific interventions; cultural competency; pharmacologic interventions; infectious disease transmission; dissemination of the latest research findings; HIV/AIDS counseling (coping skills/risk reduction/partner notification); dealing with psychopathology; and cognitive training for offenders.

Screening, Intake, and Monitoring

- Intake and assessment protocol that consists of a medical exam; alcohol and drug use history; psychosocial evaluation; where indicated, psychiatric assessment that is appropriate for evaluating all clients with respect to drug use, alcohol use, and degree of psychopathology; assessment of physical health; extent of cognitive or other impairments; employment history and capability; social history and status (e.g., family of origin, sociocultural background, exposure to abuse or violence); educational status; and history of involvement in the criminal or juvenile justice systems.
- Screening for infectious diseases, including HIV/AIDS (to include pre- and posttest counseling), tuberculosis, sexually transmitted diseases, hepatitis B, and others, as appropriate.
- Health education, including safe sex and risk reduction techniques to mitigate the spread of HIV and other sexually transmitted diseases.
- Initial urine screening for the presence of prevalent drugs (licit or illicit) and a system of randomized (at least weekly), monitored urine testing for all treated inmates.
- Referral of clients to treatment and recovery settings and modalities that are best suited to meet their needs (client-treatment matching).
- Case management (timely treatment plan development, treatment record maintenance and patient monitoring, integration of treatment services into supervised programming, and continuation of recovery support services in community-based settings with continual case supervision throughout).

Timing and Duration of Treatment and Recovery Services

- Same day intake services, and, whenever possible, individuals requesting intervention should be admitted to a treatment unit on the same day.
- Treatment and recovery services provided in the context of a sustained continuum that begins during detention or incarceration and is continued in the community of residence during parole and/or release from the facility.

Treatment and Recovery Services

- Special focus groups (peer-based and professionally monitored), general peer/support groups, cognitive group therapy, and counseling for HIV-positive clients and victims of sexual abuse.
- Special treatment programming designed to address anger management, violence prevention, victimization issues, and values formation.
- Preventive and primary medical care as required per client, including gynecologic/obstetric or reproductive health, pre- and postnatal care, and pediatric care.
- Psychiatric assessments, followed by provision of specialized therapy to address indicated psychopathology, appropriate pharmacologic interventions, and monitoring, provided by practitioners recognized by appropriate State or local authorities (e.g., appropriately credentialed psychiatrists, psychologists, and psychiatric nurses).

- Psychological counseling (when indicated) by persons recognized by State/local authorities as qualified to provide the indicated form of therapy.
- Strategies to involve family members and significant others in the treatment process and provision of family/collateral counseling, as appropriate, provided by persons recognized by State/local authorities to provide such counseling.
- Use of peers as mentors and sponsors; strong linkages with self-help groups such as Alcoholics Anonymous, Narcotics Anonymous, and Cocaine Anonymous.
- Gender-specific, age-specific, and culturally relevant strategies (e.g., staff recruitment and retention, unique treatment setting attributes, appropriate literature and audiovisual materials, and social activities) to keep clients actively engaged in the treatment process.
- Parenting skills development for both fathers and mothers, including infant and childhood development courses to enhance parental functioning.
- Nutritional and general health education by a qualified technician.
- Skill development components that emphasize daily life skills, how to make use of available community resources, and maintaining a drug- and crime-free lifestyle in a community context.
- Child care provision at the treatment facility (where appropriate for custodial parent residents).
- Recreational and social activities.
- Transportation (onsite or offsite for specialized services or employment, as appropriate).
- Intensive supervision through probation, parole, community supervision, juvenile supervision, or other supervision agencies (e.g., Treatment Alternatives to Street Crime [TASC]).
- Sustained continuity of treatment, recovery, and support services postrelease, including frequent interaction with a mentor, primary counselor, or case manager, as appropriate; intensive interventions as needed (e.g., in the event of a traumatic event such as death or divorce); participation in ongoing peer-based support programs; and drug-free cooperative living arrangements.
- Coordination of the treatment and recovery continuum with other germane services, such as vocational rehabilitation, education, legal aid, and transportation.

Suggested Guidelines for Developing an Aftercare/Continuing Care Program in Drug Courts

The aftercare/continuing care component is a stage in which the focus is on the well-being of the client independent of the presence of the coercive power or support of the criminal justice system. Therefore, aftercare/continuing care does not require a probationary function that could result in return to the criminal justice system if the person fails to complete this stage of the program. Success and participation is entirely up to the client because he or she will be the ultimate beneficiary of the experience. Aftercare/continuing care should strive to emphasize independence in a drug-free and crime-free environment, using community support services and family networks to

assist in healthy living. The following are some key components that the Drug Courts Program Office recommends when developing a successful structured aftercare/continuing care program:

- Implement aftercare when clients successfully complete all program requirements and are then released from criminal justice supervision.
- Allow clients to play a key role in developing an aftercare/continuing care discharge plan, which enables clients to implement activities that will assist them in reaching their life goals.
- Encourage family and/or close friends to support clients in the implementation of the aftercare/continuing care discharge plan and continued lifestyle changes of the client.
- Develop a program that is at least 30 days in length.
- Emphasize building community drug treatment resources, vocational/educational/professional competencies, job placement, positive community involvement, family support networks, and general reintegration into productive society.
- Encourage aftercare clients to become involved in an alumni group and/or mentor program.
- After judicial supervision requirements have been satisfied, encourage clients to continue contact with drug court team members.

RESOURCES: ADDITIONAL FEDERAL DRUG COURT FUNDING SOURCES

A. Bureau of Justice Assistance

Edward Byrne Memorial State and Local Law Enforcement Assistance Fact Sheet

FY 2000 Local Law Enforcement Block Grants Program Fact Sheet

State Offices Administering the Edward Byrne Memorial State and Local Law Enforcement Program



BJA Bureau of Justice Assistance Fact Sheet

Nancy E. Gist, Director

Edward Byrne Memorial State and Local Law Enforcement Assistance

Fiscal Year 2000

Through the Edward Byrne Memorial State and Local Law Enforcement Assistance Program (the Byrne Program), the Bureau of Justice Assistance (BJA) provides leadership and guidance on crime and violence prevention and control and works in partnership with state and local governments to make communities safe and improve criminal justice systems. BJA develops and tests new approaches in criminal justice and crime control and encourages replication of effective programs and practices by state and local criminal justice agencies. The Byrne Program, created by the Anti-Drug Abuse Act of 1988 (Public Law 100-690), emphasizes controlling violent and drug-related crime and serious offenders and fosters multijurisdictional and multistate efforts to support national drug-control priorities.

BJA makes Byrne Program funds available through two types of grant programs: discretionary and formula. Discretionary funds are awarded directly to public and private agencies and private nonprofit organizations; formula funds are awarded to the states, which then make subawards to state and local units of government.

Discretionary Grant Program

Program purposes. The Byrne Discretionary Grant Program focuses on the following crime and violence prevention and control activities:

- ❑ Undertaking educational and training programs for criminal justice personnel.
- ❑ Providing technical assistance to state and local units of government.

- ❑ Promoting projects that are national or multijurisdictional in scope.
- ❑ Demonstrating programs that, in view of previous research or experience, are likely to be successful in more than one jurisdiction.

Funding. In fiscal year (FY) 2000, \$52 million was appropriated for the Byrne Discretionary Grant Program.

Eligibility. Public and private agencies and private nonprofit organizations are generally eligible to apply for and receive funds under this program.

Matching requirements. Grants and contracts may be awarded for up to 100 percent of the cost of an approved project. However, BJA's policy is to promote leveraging of state, local, and private resources and to emphasize the need for early sustainment planning by grant recipients.

Program priorities. During FY 2000, BJA will focus on programs that implement comprehensive approaches to crime; stimulate partnerships among public agencies, private organizations, and communities; and address unmet needs in the delivery of criminal justice services. Most funds appropriated for discretionary grants will be awarded to continue initiatives started in previous fiscal years or to support those efforts designated by Congress.

BJA also seeks out new initiatives through competitive programs. An "open solicitation" has been used to request the submission of innovative concepts and practices in issues such as community justice, alcohol and crime, crime prevention among the elderly, improvements in access to services in rural and tribal settings, mental health police partnerships, local criminal justice

planning, improvements in front-end decisionmaking, strategies to strengthen the adjudication process, and innovations in offender supervision. State and local governments submit concept papers on individual topics within these general areas, and panels of experts review concept papers or applications. Funding decisions are made by the Director of BJA.

Formula Grant Program

Program purposes. The Byrne Formula Grant Program is a partnership among federal, state, and local governments to create safer communities and improved criminal justice systems. BJA is authorized to award grants to states for use by states and units of local government to improve the functioning of the criminal justice system, with emphasis on violent crime and serious offenders, and to enforce state and local laws that establish offenses similar to those in the federal Controlled Substances Act. Grants may be used to provide personnel, equipment, training, technical assistance, and information systems for more widespread apprehension, prosecution, adjudication, detention, and rehabilitation of offenders who violate such state and local laws. Grants also may be used to provide assistance (other than compensation) to victims of these offenders. There are 26 legislatively authorized purpose areas (outlined in the next section) for which formula grant assistance may be provided.

Funding. In FY 2000, \$500 million was appropriated for the Byrne Formula Grant Program. From this allocation, each state receives a base amount of 0.25 percent of the total allocation. Remaining funds are allocated according to each state's relative share of the U.S. population. (See "Formula Grant Program Allocation of Funds.")

Eligibility. The 50 states, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible to apply for formula grant funds. For the purposes of this program, references to "state" include all of these eligible entities.

State office. The chief executive of each participating state designates a state office to administer the state's Byrne Program and to coordinate the distribution of funds with state agencies receiving federal funds for drug abuse education, prevention, treatment, and research activities and programs. An office or agency performing other functions within the state's executive branch may be the designated state office.

Statewide strategy. Each state is required to develop a statewide strategy to improve its functioning of the criminal justice system, with an emphasis on drug trafficking, violent crime, and serious offenders. The strategy should be prepared after consultation with state and local officials, particularly those whose duty it is to enforce drug and criminal laws and to direct the administration of justice, and made available to the public for comment.

Administrative funds. Up to 10 percent of formula grant funds allocated to a state may be used to pay for costs incurred in administering the formula grant program.

Matching requirements. At least 25 percent of the cost of a program or project funded with a formula grant must be paid in cash with nonfederal funds. These "match" funds must be in addition to funds that would otherwise be made available by the recipient for law enforcement. Match funds are generally provided on a project-by-project basis, although BJA can approve a statewide match option.

Passthrough. The minimum passthrough amount for each state is based on the percentage of funds expended for criminal justice purposes by units of local government relative to total state and local criminal justice expenditures in the state. These expenditures must be funded by state and local revenue sources (e.g., taxes, charges and fees, utility revenue, and interest earnings). This requirement applies only to the 50 states. The District of Columbia, because of its designation as a local unit of government, is required to pass through 100 percent. The Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands have no passthrough requirement due to their single-level government structures.

Funding priority. In distributing funds, states are to give priority to jurisdictions with the greatest need for assistance with criminal justice programs.

Congressional mandates. States are required to comply with the following congressional mandates:

- ❑ **Criminal Justice Records Improvement Plan.** States must use at least 5 percent of their formula grant awards for the improvement of criminal justice records.
- ❑ **Immigration and Naturalization Plan.** States must develop methods to notify the U.S. Immigration and Naturalization Service (INS) of alien convictions and to provide records of those convictions to INS.

Formula Grant Program Allocation of Funds

State	FY 2000 Allocation	Percentage To Be Passed Through to Local Jurisdictions	State	FY 2000 Allocation	Percentage To Be Passed Through to Local Jurisdictions
Alabama	7,923,000	50.95	New Jersey	13,714,000	57.67
Alaska	2,169,000	21.97	New Mexico	3,898,000	42.23
Arizona	8,410,000	61.04	New York	29,198,000	63.29
Arkansas	5,131,000	54.87	North Carolina	12,839,000	41.36
California	51,501,000	63.15	North Dakota	2,207,000	56.16
Colorado	7,336,000	58.82	Ohio	18,477,000	64.42
Connecticut	6,263,700	36.96	Oklahoma	6,375,000	45.41
Delaware	2,369,000	26.87	Oregon	6,276,000	46.98
District of Columbia	2,030,000	100.00	Pennsylvania	19,696,000	64.83
Florida	24,181,000	61.56	Rhode Island	2,746,000	41.76
Georgia	12,986,000	53.39	South Carolina	7,128,000	42.53
Hawaii	3,061,000	46.45	South Dakota	2,361,000	47.16
Idaho	3,115,000	52.41	Tennessee	9,583,000	48.78
Illinois	19,763,000	64.51	Texas	31,636,000	65.60
Indiana	10,304,000	56.78	Utah	4,456,000	49.76
Iowa	5,630,000	40.79	Vermont	2,134,000	25.11
Kansas	5,271,000	47.49	Virginia	11,677,000	30.04
Kentucky	7,283,000	32.30	Washington	9,981,000	60.25
Louisiana	7,949,000	51.92	West Virginia	4,012,000	47.93
Maine	3,139,000	41.59	Wisconsin	9,264,000	61.98
Maryland	9,127,000	44.47	Wyoming	1,965,000	54.95
Massachusetts	10,685,000	34.52	Puerto Rico	7,165,000	0
Michigan	16,334,000	53.10	Virgin Islands	1,381,000	0
Minnesota	8,497,000	70.29	Guam	1,429,000	0
Mississippi	5,460,000	52.52	American Samoa/ N. Mariana Islands	1,363,000*	0
Missouri	9,595,000	58.22			
Montana	2,580,000	58.56			
Nebraska	3,784,000	60.36			
Nevada	3,913,000	62.01			
New Hampshire	3,048,000	51.46			

* American Samoa (67 percent)—\$913,210; N. Mariana Islands (33 percent)—\$449,790.

Figures for populations of states and for Puerto Rico are based on U.S. Census Bureau estimates as of July 1, 1997. Figures for other U.S. territories are based on the 1990 census.

Note: Actual award amounts may differ from these FY 2000 allocations due to penalties for failure to comply with HIV or Jacob Wetterling Act requirements or FY 1999 supplements to states that are in compliance with HIV.

❑ **Human Immunodeficiency Virus (HIV) Testing.**

States must enact and enforce a law that requires sex offenders to be tested for HIV if the victim requests such testing. If a state fails to comply, 10 percent of the state's formula grant will be withheld. Beginning in fiscal year 2000, the FY 2000 allocation will be added to FY1999 HIV penalty redistribution amounts to provide one combined FY 2000 Byrne Formula Award.

❑ **Jacob Wetterling Sex Offender Registry.**

States must establish 10-year registration requirements for persons convicted of certain crimes against minors and sexually violent offenses and a more stringent set of registration requirements for a subclass of highly dangerous sex offenders characterized as "sexually violent predators." If a state fails to comply with these requirements, 10 percent of its formula grant will be withheld.

Construction. Grant funds may be used for construction of penal and correctional institutions only. Acquisition of land with grant funds is prohibited.

Period of project support. Projects in the aggregate may be funded for a maximum of 4 years (48 months). Grants awarded to state and local governments to participate in multijurisdictional drug or gang task forces and victim assistance programs are excluded from this restriction.

Legislatively Authorized Byrne Program Purposes

Both discretionary and formula grant funds may be used to implement programs that carry out any of the following 26 legislatively authorized purposes:

1. Demand-reduction education programs in which law enforcement officers participate.
2. Multijurisdictional task force programs to integrate federal, state, and local drug law enforcement agencies and prosecutors for the purpose of enhancing inter-agency coordination and intelligence and facilitating multijurisdictional investigations.
3. Programs to target the domestic sources of controlled and illegal substances, such as precursor chemicals, diverted pharmaceuticals, clandestine laboratories, and cannabis cultivations.
4. Community and neighborhood programs to assist citizens in preventing and controlling crime, including special programs that address crimes committed against the elderly and special programs in rural jurisdictions.
5. Programs to disrupt illicit commerce in stolen goods and property.
6. Programs to improve the investigation and prosecution of white-collar crime, organized crime, public corruption, and fraud against the government, with priority attention to cases involving drug-related official corruption.
7.
 - a. Programs to improve the operational effectiveness of law enforcement through the use of crime analysis techniques, street sales enforcement, schoolyard violator programs, and gang-related and low-income housing drug-control programs.
 - b. Programs to develop and implement antiterrorism plans for deep-draft ports, international airports, and other important facilities.
8. Career criminal prosecution programs, including the development of model drug-control legislation.
9. Financial investigative programs to identify money laundering operations and assets obtained through illegal drug trafficking, including the development of model legislation, financial investigative training, and financial information-sharing systems.
10. Programs to improve the operational effectiveness of courts by expanding prosecutorial, defender, and judicial resources and implementing court delay-reduction programs.
11. Programs to improve the corrections system and provide additional public correctional resources, including treatment in prisons and jails, intensive supervision programs, and long-range corrections and sentencing strategies.
12. Prison industry projects to place inmates in a realistic working and training environment that enables them to develop marketable skills. With these skills inmates are better able to support their families and themselves in the institution and make financial restitution to their victims.
13. Programs to identify and meet the treatment needs of adult and juvenile drug- and alcohol-dependent offenders.
14. Programs to provide assistance to jurors and witnesses and assistance (other than compensation) to victims of crime.
15.
 - a. Programs to improve drug-control technology, such as pretrial drug testing programs; to provide for the identification, assessment, referral to

treatment, case management, and monitoring of drug-dependent offenders; and to enhance state and local forensic laboratories.

b. Criminal justice information systems (including automated fingerprint identification systems) to assist law enforcement, prosecution, courts, and corrections organizations.

16. Programs to demonstrate innovative approaches to enforcement, prosecution, and adjudication of drug offenses and other serious crimes.
17. Programs to address drug trafficking and the illegal manufacture of controlled substances in public housing.
18. Programs to improve the criminal and juvenile justice system's response to domestic and family violence, including spouse abuse, child abuse, and elder abuse.
19. Programs with which states and local units of government can evaluate state drug-control projects.
20. Programs to provide alternatives to detention, jail, and prison for persons who pose no danger to the community.
21. Programs to strengthen urban enforcement and prosecution efforts targeted at street drug sales.
22. Programs to prosecute driving-while-intoxicated charges and enforce other laws relating to alcohol use and the operation of motor vehicles.
23. Programs to address the need for effective bindover systems for prosecuting violent 16- and 17-year-old juveniles in courts with jurisdiction over adults. (The crimes are specified.)
24. Law enforcement and prevention programs for gangs and youth who are involved or are at risk of involvement in gangs.
25. Programs to develop or improve forensic laboratory capability to analyze DNA for identification purposes.
26. Programs to develop and implement antiterrorism training and procure equipment for local law enforcement authorities.

Note: Congress has authorized the use of Byrne funds to support programs that assist in the litigation of death penalty federal habeas corpus petitions and for drug testing initiatives. This authorization applies to FY 1998, 1999, and 2000 awards and may or may not be available in future funding cycles.

Program Evaluation

The Anti-Drug Abuse Act of 1988 mandates that all programs funded under the Byrne Program be evaluated. The goal is to identify and disseminate information about programs of proven effectiveness so that jurisdictions throughout the country can replicate them. In addition, evaluation results guide the formulation of policy and programs within federal, state, and local criminal justice agencies.

The National Institute of Justice (NIJ) is an active participant in BJA's evaluation program. BJA and NIJ jointly develop evaluation guidelines and conduct comprehensive evaluations of selected programs receiving discretionary and formula grant funds. The Director of NIJ is required to report to the President, Attorney General, and Congress on the nature and findings of Byrne Program evaluation activities.

Formula grant program applicants must include an evaluation component that meets the BJA/NIJ evaluation guidelines. The Director of BJA may waive this requirement under certain circumstances. Each state is required to provide BJA with an annual report that includes a summary of its grant activities and an assessment of the impact of these programs on the needs identified in its statewide strategy. Formula grant funds may be used to pay for evaluation activities.

Applicants for discretionary grant funding also are required to include an evaluation component in their applications and to conduct evaluations according to the procedures and terms established by BJA.

The Director of BJA is required to submit to the Speaker of the House of Representatives and to the President pro tempore of the Senate an annual report on evaluation results of BJA programs and projects and state strategy implementation.

For Further Information

For additional information on the Bureau of Justice Assistance and its programs, contact the offices listed below. In addition, refer to BJA's *FY 2000 Program Plan* for a summary of all discretionary programs planned for FY 2000. Solicitations for competitive awards, including application instructions, will be issued separately and made available through the BJA home page or the BJA Clearinghouse home page. (See below for World Wide Web addresses.)

Bureau of Justice Assistance

810 Seventh Street NW.
Washington, DC 20531
202-307-0635
World Wide Web: www.ojp.usdoj.gov/BJA

Bureau of Justice Assistance Clearinghouse

P.O. Box 6000
Rockville, MD 20849-6000
1-800-688-4252
World Wide Web: www.ncjrs.org

Clearinghouse staff are available Monday through Friday, 8:30 a.m. to 7 p.m. eastern time. Ask to be placed on the BJA mailing list.

U.S. Department of Justice Response Center

1-800-421-6770 or 202-307-1480

Response Center staff are available Monday through Friday, 9 a.m. to 5 p.m. eastern time.

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Office of Justice Programs
Bureau of Justice Assistance

Washington, DC 20531

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Bureau of Justice Assistance Fact Sheet

Nancy E. Gist, Director

FY 2000 Local Law Enforcement Block Grants Program

For fiscal year (FY) 2000, Congress has appropriated \$523 million for the continuation of the Local Law Enforcement Block Grants (LLEBG) Program, to be administered by the Bureau of Justice Assistance (BJA), U.S. Department of Justice. The purpose of the LLEBG Program is to provide funds to units of local government to underwrite projects to reduce crime and improve public safety.

Program Eligibility and Distribution of Funds

To be considered eligible for the LLEBG Program, a jurisdiction must be a general purpose unit of local government.¹ The unit of local government must report, via its law enforcement agencies, to the Uniform Crime Reports (UCR) Program of the Federal Bureau of Investigation (FBI).

The LLEBG Program is a formula program based on a jurisdiction's number of UCR Part I violent crimes reported to the FBI. The formula is computed in two stages. In the first stage, state allocations are proportionate to each state's average annual amount of UCR Part I violent crimes compared with that for all other states for the 3 most recent calendar years of data from the FBI. Each state, however, must receive a minimum award of 0.25 percent of the total amount available for formula distribution under the LLEBG Program. In the second stage, local awards are proportionate to each local jurisdiction's average annual amount of UCR Part I violent crimes compared with that for all other local jurisdictions in the state for the 3 most recent calendar years. Jurisdictions reporting crime rates above the formula-based threshold of \$10,000 are eligible for direct awards.

The difference remaining between the state allocation and the local allocation total is awarded to a state administrative agency (SAA) designated by the Governor. The SAA has the option of distributing award funds to state police departments or units of local government not meeting the formula-based threshold of \$10,000. Additional information about this portion of the funds is available from each state's respective SAA.

Program Purpose Areas

LLEBG Program funds must be spent in accordance with one or more of the following seven purpose areas:

- ☐ Supporting law enforcement:
 - Hiring, training, and employing on a continuing basis new, additional law enforcement officers and necessary support personnel.
 - Paying overtime to currently employed law enforcement officers and necessary support personnel to increase the number of hours worked by such personnel.
 - Procuring equipment, technology, and other material directly related to basic law enforcement functions.
- ☐ Enhancing security measures in and around schools and in and around other facilities or locations that the unit of local government considers special risks for incidents of crime.
- ☐ Establishing or supporting drug courts.
- ☐ Enhancing the adjudication of cases involving violent offenders, including cases involving violent juvenile offenders.

- ❑ Establishing a multijurisdictional task force, particularly in rural areas, composed of law enforcement officials representing units of local government. This task force must work with federal law enforcement officials to prevent and control crime.
- ❑ Establishing crime prevention programs involving cooperation between community residents and law enforcement personnel to control, detect, or investigate crime or to prosecute criminals.
- ❑ Defraying the cost of indemnification insurance for law enforcement officers.

Program Requirements

The following requirements must be met prior to the obligation of LLEBG Program funds and prior to the Request for Drawdown (RFD) of funds. LLEBG awards and RFDs must be completed within 1 year of the posting of awards or the funds will be redistributed in the following fiscal year.

- ❑ **Advisory Board**
Each jurisdiction must establish or designate an advisory board to review the application. The board must be designated to make nonbinding recommendations for the proposed use of funds received under this program.² The advisory board must include a member from each of the following local organizations: law enforcement agency, prosecutor's office, court system, school system, and a nonprofit group (e.g., educational, religious, community) active in crime prevention or drug-use prevention or treatment.
- ❑ **Public Hearing**
Each jurisdiction must hold at least one public hearing regarding the proposed use of funds prior to the obligation of funds. Jurisdictions should encourage public attendance and participation.
- ❑ **Matching Funds**
In each jurisdiction, LLEBG funds may not exceed 90 percent of total program costs. Program participation requires a cash match that will not be waived. All recipients must maintain records clearly showing the source, amount, and timing of all matching contributions.
- ❑ **Trust Fund**
Each jurisdiction must establish a trust fund that may accrue interest in which to deposit program funds.

- ❑ **Expenditure Period**
All federal funds, including interest, revenue, dividend, and match, must be spent within the 2-year expenditure period. Unspent funds must be returned to BJA within 90 days of program termination.
- ❑ **Public Safety Officers' Health Benefits Provision**
Section 615 of the FY 1998 Appropriations Act requires a unit of local government to afford a public safety officer *who retires or is separated from duty due to a personal line-of-duty injury, suffered as a direct and proximate result of responding to a hot pursuit or an emergency situation*, health benefits at the time of separation that are the same as or better than those he or she received while on duty.

To be eligible to receive the entire amount of award under the LLEBG Program, a unit of local government must be in compliance with this provision. If not in compliance, the unit will forfeit 10 percent of the eligible amount. For additional information, see the *Public Safety Officers' Benefits Program Fact Sheet*, which is available through the BJA Clearinghouse at 1-800-688-4252 and via the BJA homepage at www.ojp.usdoj.gov/BJA.

Prohibition on Use of Funds

LLEBG funds are not to be used to purchase, lease, rent, or acquire tanks or armored vehicles, fixed-wing aircraft, limousines, real estate, yachts, or any vehicle not used primarily for law enforcement. Nor are funds to be used to retain individual consultants or construct new facilities. Likewise, federal funds are not to be used to supplant state or local funds. Rather, they are to be used to increase the amount of funds that would otherwise be available from state and local sources.

Resolution of Funding Disparities

The LLEBG Program provides resolution to potential funding disparities within jurisdictions. A state attorney general may certify that a disparity exists between or among jurisdictions. Those jurisdictions are then required by statute to develop and submit joint applications. BJA's role is limited to accepting state attorney general certifications and reviewing jointly submitted applications. If the state attorney general chooses not to become involved in the disparate allocation certification process, there is no mechanism for BJA to intervene. All certifications must be submitted within given deadlines, prior to BJA determination of annual award amounts.

The LLEBG Program employs two criteria for determining eligibility for disparity certification. First, an associated municipality's eligible funding amount must be greater (by set percentages) than the funding amount of the county. Second, the county must bear more than 50 percent of prosecution or incarceration costs arising from Part I violent crimes reported by an associated municipality. If there are multiple associated municipalities, the county must also show that the funding allocations to those municipalities is likely to threaten the efficient administration of justice.

FY 2000 Application Process

The FY 2000 application and award processes will be administered via the Internet-based Grants Management System. Application deadlines and other LLEBG Program dates will be established in accordance with system development efforts and will be posted on the BJA Web site. The application process will consist of the following steps:

1. BJA will notify units of government of their eligibility and provide information on the Internet-based application system for the FY 2000 LLEBG Program.
2. State attorneys general will submit disparity certifications to BJA, if applicable.
3. As required by statute, chief executive officers (CEOs) will submit a copy of the application to the Governor or designated representative.
4. CEOs will submit FY 2000 LLEBG applications via the Internet.
5. BJA will make awards on a rolling basis, with all FY 2000 awards completed by September 29, 2000.

Technical Assistance

In FY 2000, BJA will continue to provide technical assistance through the following programs: State and Local Training and Education Technical Assistance Scholarships, Grants Management Workshop Series, Investigative and Surveillance Technology Training, and training in criminal justice technologies, tribal

criminal case management, drug courts, and adjudication. For a complete listing of technical assistance available under the LLEBG Program, visit www.ojp.usdoj.gov/BJA/html/llta.htm.

For Further Information

To find out more about the Local Law Enforcement Block Grants Program or BJA's technical assistance initiatives, contact the following offices:

Bureau of Justice Assistance State and Local Assistance Division

810 Seventh Street NW.
Washington, DC 20531
202-305-2088
Fax: 202-514-5956
World Wide Web: www.ojp.usdoj.gov/BJA

Bureau of Justice Assistance Clearinghouse

P.O. Box 6000
Rockville, MD 20849-6000
1-800-688-4252
World Wide Web: www.ncjrs.org

Clearinghouse staff are available Monday through Friday, 8:30 a.m. to 7 p.m. eastern time. Ask to be placed on the BJA mailing list.

U.S. Department of Justice Response Center

1-800-421-6770 or 202-307-1480

Response Center staff are available Monday through Friday, 9 a.m. to 5 p.m. eastern time.

Notes

1. Units of local government are counties, towns and townships, villages, cities, parishes, Indian tribes, Alaska Native villages, and parish sheriffs (in the state of Louisiana) that carry out substantial governmental duties.
2. In Louisiana, state regulations make the advisory board's recommendations binding.

FS 000262
April 2000

State Single Points of Contact Intergovernmental Review Process

Executive Order 12372 requires applicants from State and local units of government or other organizations providing service within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists and if this program has been selected for review by the State. You must contact your State SPOC to find out if this program has been selected for review by your State.

The Catalog of Federal Domestic Assistance reference for this program is number 16.586. A current list of State SPOC's is set forth below.*

ARIZONA

Janice Dunn
Arizona State Clearinghouse
14th Floor
3800 North Central Avenue
Phoenix, AZ 85012
Phone: 602-280-1315
Fax: 602-280-1305

ARKANSAS

Mr. Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental
Services
Department of Finance and
Administration
Room 412
1515 West Seventh Street
Little Rock, AR 72203
Phone: 501-682-1074
Fax: 501-682-5206

CALIFORNIA

Bette North
Office of Criminal Justice
Planning
Suite 300
1130 K Street
Sacramento, CA 95814
Phone: 916-324-9154
Fax: 916-324-9167

DELAWARE

Francine Booth
State Single Point of Contact
Executive Department
Thomas Collins Building
Dover, DE 19903
Phone: 302-739-3326
Fax: 302-739-5661

DISTRICT OF COLUMBIA

Charles Nichols
State Single Point of Contact
Office of Grants Mgmt. & Dev.
Suite 500
717 14th Street NW.
Washington, DC 20005
Phone: 202-727-6551
Fax: 202-727-1617

FLORIDA

Suzanne Traub-Metlay
Florida State Clearinghouse
Intergovernmental Affairs Policy
Unit
Executive Office of the Governor
Room 1603
The Capitol
Tallahassee, FL 32399-0001
Phone: 904-488-8114
Fax: 904-488-9005

GEORGIA

Charles H. Badger
Administrator
Georgia State Clearinghouse
Room 401J
254 Washington Street SW.
Atlanta, GA 30334
Phone: 404-656-3855 or
404-656-3829
Fax: 404-656-7938

ILLINOIS

Steve Klockenga
State Single Point of Contact
Office of the Governor
107 Stratton Building
Springfield, IL 62706
Phone: 217-782-1671
Fax: 217-782-6620

INDIANA

Frances E. Williams
State Budget Agency
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* In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The Office of Management and Budget point of contact for updating this listing is Donna Rivelli at 202-395-5090. The States not listed no longer participate in the process. These include Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia, and Washington. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will only be made upon formal notification by the State. Also, this listing is published biannually in the Catalogue of Federal Assistance.

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B. Office of Juvenile Justice and Delinquency Prevention

Juvenile Accountability Incentive Block Grants Program Fact Sheet

State Offices Administering the Juvenile Accountability Incentive
Block Grants Program



OJJDP FACT SHEET

Shay Bilchik, Administrator April 1998 #76

Juvenile Accountability Incentive Block Grants Program

by Rodney L. Albert

This Fact Sheet provides summary information regarding the Juvenile Accountability Incentive Block Grants (JAIBG) program, a new block grant program designed to promote greater accountability in the juvenile justice system. It is being administered by the Office of Juvenile Justice and Delinquency Prevention (OJJDP). Public Law 105-119, Making Appropriations for the Departments of Commerce, Justice and State, the Judiciary, and Related Agencies for the Fiscal Year Ending September 30, 1998, and for other Purposes (Appropriations Act), November 26, 1997, appropriated \$250 million for the JAIBG program described in Title III of H.R. 3, as passed by the House of Representatives on May 8, 1997. After deducting statutory set-asides for program administration (\$5.25 million); research, evaluation, and demonstration (\$7.5 million); and training and technical assistance (\$5 million), the balance available for distribution to eligible States is \$232.25 million.

State Eligibility and Program Areas

In order to qualify for Fiscal Year (FY) 1998 funds under the JAIBG program, each Governor or other chief executive from the 56 qualifying "State" jurisdictions must certify that the State has adopted, is considering, or will consider within 1 year State laws, policies, or procedures that would (1) subject juveniles age 15 or over who are alleged to have committed a "serious violent crime" to criminal prosecution by operation of law or prosecutor direct file; (2) impose sanctions on juvenile offenders for every delinquent act, including probation violations, and escalate sanctions for each subsequent more serious offense or probation violation; (3) establish a system of juvenile delinquency records that subjects juvenile felony offenders who have a prior delinquency adjudication to having their records treated in a manner equivalent to adult records, including submission of such records to the FBI; and (4) ensure that State law does not prohibit juvenile court judges from issuing court orders requiring parental supervision of a juvenile offender and from imposing sanctions for violations of such orders.

In addition to the four areas of certification listed above, the Appropriations Act also requires that a State or unit of local government, to be eligible to receive a JAIBG grant or subgrant award, must have implemented or must agree to implement by January 1, 1999, a policy of testing appropriate categories of juveniles within the juvenile justice system for use of controlled substances.

Of the funds available for awards to States in FY 1998, individual allocations, based on population under age 18, range from \$1.2 million to \$22.5 million per State. Funds are available for 12 juvenile justice system related program purpose areas:

- ◆ Construction of juvenile detention or correctional facilities, including training of personnel.
- ◆ Accountability-based sanctions programs.
- ◆ Hiring of judges, probation officers, and defenders and funding of pretrial services.
- ◆ Hiring of prosecutors.
- ◆ Funding of prosecutor-led drug, gang, and violence programs.
- ◆ Provision of technology, equipment, and training programs for prosecutors.
- ◆ Probation programs.
- ◆ Gun courts.
- ◆ Drug courts.
- ◆ Information sharing systems.
- ◆ Accountability-based programs for law enforcement referrals or those that are designed to protect students and school personnel from drug, gang, and youth violence.
- ◆ Controlled substance testing (including interventions) for juveniles in the juvenile justice system.

The Appropriations Act prescribes the percentages of funds that are required to be expended within specified program purpose areas—unless the State or subgrantee unit of local government certifies and documents that the interests of public safety or crime control require a different use.

Distribution to Units of Local Government

Absent a waiver, each State must distribute not less than 75 percent of its allocation among units of local government in the State. In making such distribution, the State will allocate funds among units of local government using a formula that combines law enforcement expenditures for each unit of local government and the average annual number of Uniform Crime Report Part I violent crime arrests reported by each unit of local government, each for the three most recent calendar years for which data are available. Two-thirds of each unit of local government allocation is based on the law enforcement expenditure data and one-third on the reported violent crime arrest data, in a ratio based on the aggregate data for all units of general local government in the State. A unit of local government must qualify for a minimum of \$5,000 in order to be eligible to receive an award. The State will retain funds allocated to nonqualified units in order to provide services for their benefit or use. The State or local government recipient of a JAIBG award must contribute, in the form of a cash match, at least 10 percent of the total program cost. If JAIBG funds are used to construct a permanent juvenile corrections facility, the cash match must be at least 50 percent of total program costs. JAIBG program funds cannot be used to supplant State or local funds.

Juvenile Crime Enforcement Coalitions

States and units of local government eligible to receive JAIBG funds must establish a Coordinated Enforcement Plan (CEP) for reducing juvenile crime developed by a Juvenile Crime Enforcement Coalition (JCEC).

State CEP's must be developed by a JCEC consisting of law enforcement and social service agencies involved in juvenile

crime prevention. To assist in developing the State's CEP, States may choose to utilize members of the State Advisory Group established by the State's chief executive under the OJJDP Formula Grants program, if appropriate membership exists, or another planning group that constitutes a coalition of law enforcement and social service agencies.

When establishing a local JCEC to establish a CEP, units of local government must include, unless impracticable, individuals representing (1) police, (2) sheriff, (3) prosecutor, (4) State or local probation services, (5) juvenile court, (6) schools, (7) business, and (8) religious, fraternal, nonprofit, or social service organizations involved in crime prevention. The eight groups listed for a JCEC do not constitute an exhaustive list. Units of local government may add additional representation as appropriate. Units of local government may utilize members of Prevention Policy Boards established under OJJDP's Title V Community Prevention Grants program to meet the JCEC requirement, provided that each such coalition meets the minimum membership requirements.

For Further Information

OJJDP has developed the *Juvenile Accountability Incentive Block Grants Program Guidance Manual* to assist States and units of local government in applying for, receiving, obligating, and expending JAIBG funds. An accompanying regulation will establish the procedure for States and units of local government to provide notice to OJJDP of proposed uses of funds. The *Guidance Manual* can be downloaded from OJJDP's home page, www.ncjrs.org/ojjhome.htm. Printed copies of the *Guidance Manual* are available from the Juvenile Justice Clearinghouse, 800-638-8736. Questions regarding the JAIBG program can be directed to OJJDP's State Relations and Assistance Division, 202-307-5924.

Rodney L. Albert is the Assistant Director of OJJDP's State Relations and Assistance Division.

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**C. U.S. Department of Health and Human Services,
Center for Substance Abuse Treatment (CSAT)**

State Offices Administering the CSAT Block Grant Program

**Center for Substance Abuse Treatment,
Substance Abuse and Mental Health Services Administration,
U.S. Department of Health and Human Services**

The Center for Substance Abuse Treatment (CSAT) of the Substance Abuse and Mental Health Services Administration (SAMHSA), U.S. Department of Health and Human Services (HHS), was created in October 1992 with the Congressional mandate to expand the availability of effective treatment and recovery services for people with alcohol and drug problems. CSAT works cooperatively across the private and public treatment spectrum to identify, develop, and support policies, approaches, and programs that enhance and expand treatment services for individuals who abuse alcohol and other drugs and that address individuals' addiction-related problems. The CSAT National Advisory Council, in accordance with statutory mandates, provides advice, consultation, and recommendations to the CSAT director and to the secretary of HHS on programmatic and policy matters relating to activities of the Center.

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The CSAT Division of State and Community Assistance (DSCA) developed a State Systems Development Program (SSDP) to enhance Federal and State accountability for the Substance Abuse Prevention and Treatment (SAPT) Block Grant. SSDP encompasses

- A. Development of a standard application to report statewide substance abuse prevention activities and treatment services delivery plans.
- B. The conduct of State prevention and treatment needs assessments.
- C. The conduct of onsite State Alcohol and Other Drug (AOD) Systems Technical Reviews.
- D. The provision of targeted technical assistance (TA) to States.
- E. The creation of a national database of current prevention activities and treatment services delivery information.

SSDP is a comprehensive, systematic approach to administering the SAPT Block Grant that enables the Federal Government

- 1. To make a determination regarding a State's compliance to the statutory (see 42 U.S.C. 300x-21 et seq.) and regulatory (see 45 C.F.R. part 96) requirements regarding the use of block grant funds.
- 2. To monitor State expenditures of block grant funds at the provider level.
- 3. To assist States in matching AOD prevention and treatment needs to existing service delivery capacity.

4. To strengthen State management of the AOD prevention and treatment infrastructure. SSDP provides a structure for the Federal Government to guide and monitor substance abuse prevention activities and treatment services supported by the SAPT Block Grant on a State, regional, and national scale while providing States with the flexibility to plan, carry out, and evaluate (See 42 U.S.C. 300x-21) State-specific solutions to local AOD prevention and treatment needs.

Standard Application

The Center for Substance Abuse Treatment and its State partners developed and implemented the standard application for SAPT Block Grant funds. Prior to the introduction of the standard application, States annually submitted two separate documents: an annual report and a State plan. The format and content of the standard application incorporates some elements of the previous documents; however, the standard application provides a template for States to display both aggregate and entity expenditure data and also provides a description of a State's planning and needs assessment activities. CSAT's partners were encouraged, but not required, to submit electronically the uniform application using Block Grant Application System (BGAS) software, developed expressly for the States. Fifty-one States voluntarily use BGAS annually to submit their standard application. The aggregate data is stored in a database that can be used to provide analyses of State, regional, and national trends with regard to how Federal block grant funds are allocated and expended and the activities and services provided to reduce the impact of alcohol and other drug abuse and dependence across the Nation.

Targeted Capacity Expansion Program

Additionally the Center for Substance Abuse Treatment administers the Targeted Capacity Expansion Program to expand substance abuse treatment capacity in targeted areas for a targeted response to treatment capacity problems and/or emerging trends. This program is designed to address gaps in treatment capacity by supporting rapid and strategic responses to demands for substance abuse (including alcohol and drug) treatment services in communities with serious, emerging drug problems, as well as in communities that have innovative solutions to unmet needs. This Program Announcement (PA) is a reissuance (with revisions) of a prior Guidance for Applicants (GFA) by the same title, Targeted Capacity Expansion, GFA No. TI 99-002.

For further information about programs funded by CSAT, visit their Web site at www.samhsa.gov/csat.

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Recommended Reading

The following documents are the latest U.S. Department of Justice publications on drug courts and are available from the National Criminal Justice Reference Service at 1-800-851-3420.

American University Drug Court Clearinghouse and Technical Assistance Project Justice Programs Office

Summary Assessment of the Drug Court Experience, May 1996.

1997 Drug Court Survey Report: Executive Summary, October 1997.

Drug Courts Program Office, Office of Justice Programs, U.S. Department of Justice

Decade of Drug Courts, June 1998, NCJ 171140 (Revised 1999).

Defining Drug Courts: The Key Components, January 1997, DD 165478.

Drug Court Monitoring, Evaluation, and Management Information Systems, June 1998, NCJ 171138.

Drug Courts Program Office Fact Sheet, June 2000, FS 4000265.

Drug Testing in a Drug Court Environment: Common Issues to Address, May 2000, NCJ 181103.

Guideline for Drug Courts on Screening and Assessment, June 1998, NCJ 171143.

The Interrelationship Between the Use of Alcohol and Other Drugs: Summary Overview for Drug Court Practitioners, August 1999, NCJ 178940.

Juvenile and Family Drug Courts: An Overview, June 1998, NCJ 171139 (Revised 1999).

Juvenile and Family Drug Courts: Profile of Program Characteristics and Implementation Issues, June 1998, NCJ 171142.

Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations, June 1999, NCJ 176977.

National Association of Drug Court Professionals

Drug Courts: A Revolution in Criminal Justice, 1999.

National Drug Court Institute

Drug Court Publications: Resource Guide, May 1999.

DUI/Drug Courts: Defining a National Strategy, March 1999.

Reentry Drug Courts, December 1999.

**Bureau of Justice Assistance, Office of Justice Programs,
U.S. Department of Justice**

Special Drug Courts, Program Brief, NCJ 144531.

**Office of Juvenile Justice and Delinquency Prevention,
Office of Justice Programs, U.S. Department of Justice**

American Probation and Parole Association's Drug Testing Guidelines and Practices for Juvenile Probation and Parole Agencies, 1992, NCJ 136450.

Capacity Building for Juvenile Substance Abuse Treatment, 1997, NCJ 167251.

Conflict Resolution Education: A Guide to Implementing Programs in Schools, Youth-Serving Organizations, and Community and Juvenile Justice Settings, 1996, NCJ 160935.

Drug Identification and Testing in the Juvenile Justice System, 1998, NCJ 167889.

Preventing Drug Abuse Among Youth: An Overview of Community, Family, and School-Based Programs, 1997, NCJ 165583.

Focus on Accountability: Best Practices for Juvenile Court and Probation, 1999, NCJ 177611.

**National Institute of Justice, Office of Justice Programs,
U.S. Department of Justice**

John S. Goldkamp and Doris Weiland, *Assessing the Impact of Dade County's Felony Drug Court*, NCJ 145302.

Adele Harrell, Shannon Cavanagh, and John Roman, *Findings from the Evaluation of the D.C. Superior Court Drug Intervention Program*, May 1999, NCJ 181894.

The Drug Court Movement, Update, September 1995.

John S. Goldkamp, *Issues and Practices, Justice and Treatment Innovation: The Drug Court Movement, A Working Paper of the First National Drug Court Conference*, December 1993, NCJ 149260.

Peter Finn and Andrea K. Newlyn, *Miami's Drug Court, A Different Approach*, NCJ 142412.

Addresses on the World Wide Web

- Drug Court Clearinghouse and Technical Assistance Program/Justice Programs Office, American University: *www.american.edu/justice*
- Drug Free Workplace Helpline: *helpline@samhsa.gov* (e-mail)
- Drug Information and Strategy Clearinghouse: *gopher://ric.aspensys.com:76*
- National Clearinghouse for Alcohol and Drug Abuse Information: *www.health.org*
- National Criminal Justice Reference Service: *www.ncjrs.org*
- Office of Justice Programs: *www.ojp.usdoj.gov*
- Office of National Drug Control Policy: *www.whitehousedrugpolicy.gov*
- U.S. Department of Education: *www.ed.gov*
- U.S. Department of Health and Human Services: *www.os.dhhs.gov*
- U.S. Department of Housing and Urban Development: *www.hud.gov*
- U.S. Department of Labor: *www.dol.gov*

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